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ABSTRACT

The program of the 130th meeting of the Association of Research Libraries (ARL) explored the leadership challenges posed by the juxtapositions of cooperation and competing priorities in a consortial environment. Following an opening and welcome (Gloria Werner, ARL Presiding President), and a Keynote Address, "Defining Successful Leadership" (David Campbell), the first session, "Cooperative Ventures: Experiences from Other Sectors," was introduced by Carole Moore and included the following papers: "Competitive Cooperation Among Foreign Language and Area Studies Centers" (Gilbert W. Merkx); "Partnering as a Competitive Strategy: Lessons from the Los Alamos National Laboratory" (Thomas Garcia); and "The Art Museum Network as a Tool for Cooperative Programming" (Maxwell L. Anderson). The luncheon session, "Government Relations Update" was introduced by Nancy Cline and included these papers: "Lessons from the WIPO Negotiations of December 1996" (Douglas Bennett); "The Context and Politics of WIPO Negotiations" (James G. Neal); and "Canadian Copyright Law Reform and the Cancopy License Renewal" (Graham Hill). The second session, "Building Community from Diversity" was introduced by Nancy L. Baker and included the following papers: "Redefining America: Diversity in the 21st Century" (Evelyn Hu-DeHart) and "Santa Fe Affordable Housing Program" (Joseph Montoya and Steve Bruger). The third session, "Lessons from Library Consortia" was introduced by Ken Frazier and included these papers: "Trends in Library Consortia" (William G. Potter); "Consortial Leadership: Essential Elements for Success" (Barbara McFadden); and "Consortia: A Tool for Building a Knowledge Commons" (Richard E. Lucier). Papers from the ARL Town Meeting are also included: "Organizational Arrangements for Shared Digital Collections" (Douglas Bennett) and "Using

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ILL/DD Performance Measures" (Shirley K. Baker and Mary E. Jackson). Appendices include reports from the ARL business meeting; AAU/ARL Global Status Report; selected definitions and readings; audited financial statements for the year ended December 31, 1996; and ARL attendance list. (AEF)

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Consortial Leadership: Cooperation in a Competitive Environment

Association of Research Libraries
Proceedings of the
130th Membership Meeting
Albuquerque, NM, May 11-12, 1995

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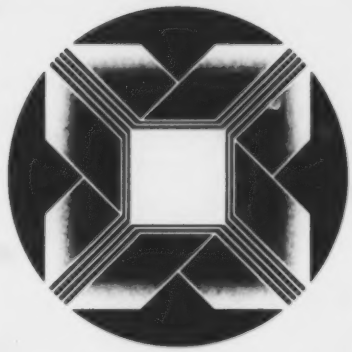

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Consortial Leadership:

Cooperation in a Competitive Environment

Association of Research Libraries
Proceedings of the 130th Meeting

Albuquerque, New Mexico
May 14-16, 1997

Gloria Werner, Presiding

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[1] Readers familiar with the Proceedings series will note the absence from these Appendices of a "Report on Association Activities." Beginning in 1997, the spring issue of the "Report on Association Activities" was not issued because the same information was included in the annual "ARL Program Plan," published and distributed separately. The "Report on Association Activities" continues as a series but is issued only once a year, in conjunction with the October Membership Meeting.

FOREWORD

CONSORTIAL LEADERSHIP:
COOPERATION IN A COMPETITIVE ENVIRONMENT

Research libraries and the institutions they serve operate in an environment of both competition and cooperation. An increasing number of organizations are competing with libraries in the provision of information services, even as libraries take on new information provider roles. Within their own institutions, libraries compete with other units for resources, technologies, and recognition, just as universities compete with each other for faculty and students, as well as for public and private funding. Within this competitive context, however, cooperation can often be politically expedient, as administrative and funding sources look favorably on those who propose to leverage their resources by working together.

The library literature is replete with references to cooperative projects, collaborative programs, and consortial development. These programs first involved the cooperative acquisition and sharing of physical resources, e.g., books and copies of articles. Next followed the development of shared catalogs and bibliographic systems. More recently, libraries have adapted their expertise in collaboration to take advantage of the increasing number of electronic information resources and the expanding network infrastructure. Research libraries, in particular, have been and continue to be important participants in local, regional, and national consortia. In spite of this rich experience, there is no commonly accepted definition of consortia. For purposes of this meeting, consortia are defined as two or more institutions engaged in a mutually interdependent relationship. In some cases, they present opportunities but no requirement to reallocate local resources. In most cases, they imply some loss of local autonomy.

Leadership, difficult at best in a single institution, becomes more complex when working in a consortial environment. Negotiating multiple priorities and conflicting allegiances with partners of differing levels of resources and expertise creates a unique set of challenges. The exercise of leadership from staff throughout the library becomes much more important, especially as the varied constituents of libraries demand "more for less." Reconciling these multiple interests poses a predicament. What kind of leadership is most effective in an arena that necessitates leveraging local strengths to maximize the benefits of interdependency? This program explored the leadership challenges posed by the juxtapositions of cooperation and competing priorities.

OPENING SESSION

Convened by Gloria Werner, ARL Presiding President

MS. WERNER (University of California-Los Angeles): Good morning. I am very pleased to convene the 130th Membership Meeting of the Association of Research Libraries, and, in keeping with a very hallowed tradition, I would like us to begin by having some of our new directors introduced to us.

To begin, Sara Michalak will introduce Margo Crist, from the University of Massachusetts.

MS. MICHALAK (University of Utah): It is my pleasure to introduce Margo Crist. Some would say that those who are assembled here represent the elite of our profession and that this group has attained a full measure of success. Maybe yes, maybe no. But by whatever standards, Margo Crist is one of the true leaders of research library practice. Her arrival here has been inevitable.

Through her work at central Massachusetts regional library systems, Boston Public Library, and the University of Michigan, she has made a lasting impact on our field. Now, the University of Massachusetts will benefit from her skill and wisdom. Margo holds multiple leadership roles in ALA, ACRL, PLA, and the library associations in Massachusetts and Michigan.

In her association work, Margo has taught, mentored, and helped to shape the infrastructure, mission, and values of those organizations. I met Margo as a member of the last senior fellows class at UCLA. Margo was a role model to all of us; her thoughts, quiet strength, humor, and understanding on major research library issues were part of the reason why that class meant so much to all of us.

There are now four of us here, and there have been five, from that senior fellows class: Joan Giesecke; Paul Kobulnicky; myself; at one time, Beth Shapiro; and now Margo. She will be a tremendous asset to ARL.

MS. WERNER: Thank you. It now gives me great pleasure to introduce someone who was officially appointed Director only a few days ago, just in time for this ARL meeting. Marianne Gaunt is now officially the University Librarian at Rutgers, and she will be introduced by Joanne Euster.

MS. EUSTER (University of California-Irvine): It is an enormous pleasure for me to introduce Marianne Gaunt to you. Marianne had been at Rutgers awhile when I went there in 1986. She had gone there from Brown University, where she was head of serials, and had been at Rutgers serving as Online Services Coordinator, Circulation Librarian, and Acting Director at the Alexander Library. I eventually asked Marianne to be the permanent director of the Alexander Library, so I consider that to be her first true administrative position. You can see where it has led.

Marianne went on to become Associate University Librarian for Research and Undergraduate Services, where she was responsible for coordinating all of the public services programs for the university library system and for the libraries in New Brunswick. Those of you who know me and the rather medieval structure of Rutgers will know that means: she ran darn near everything.

Marianne has served on numerous campus- and university-wide committees and has been very active in national and international library, humanities, and particularly computing organizations. She is on executive committees of the Association for Computers and the Humanities, and was really the founder of the Center for Electronic Texts in the Humanities. It took enormous determination and drive to get that organization going, and those of you who have been exposed to the programs of that Center know how

important it has been. Marianne has a bachelor's degree in French Language from Montclaire State University, and her master's in Library Science from Drexel University. Welcome, Marianne.

MS. WERNER: Paula Kaufman will now come forward and introduce Cliff Haka, from Michigan State.

MS. KAUFMAN (University of Tennessee): It is really quite a pleasure for me to introduce Cliff Haka, the new Michigan State representative to ARL, to you. Cliff holds three master's degrees: in addition to an M.L.S., he has an M.B.A. and a master's degree in American History. He started his library career at the Illinois State Historical Society Library, was then head of circulation at the University of Kansas, and moved to Michigan State University in the early 1980s, where he held a series of progressively more responsible positions. The position he held prior to his current appointment as Director was Assistant Director for Facilities and Budgeting, a set of tasks that we all rely on our associate directors for and are grateful that they are there to do it.

I first met Cliff in 1984. Our two institutions were among the six that participated in the ARL public services self-study, and we were out in Seattle at an ACRL program doing a panel presentation on the experiences that we had with that study. I remember the contributions he made there and he has made many more to this profession over the years.

Like those who have already been introduced, Cliff is a tremendous asset to the profession and I know that he will be to this organization. Please help me welcome Cliff Haka.

MS. WERNER: David Bishop, will you come forward and introduce to us Chuck Henry, the new Director at Rice University?

MR. BISHOP (Northwestern University): It is my pleasure to present Chuck Henry, the new Vice Provost and University Librarian at Rice University. Prior to that, he was the Director of Libraries at Vassar College, and, previously, Assistant Director of Humanities, Columbia University Library. For those of you who have been involved with CNI, you know that Chuck was a leader in CNI's formative years: he was leader of the working group on Transformation of Scholarly Information and in that role was a regular and important contributor to CNI meetings. He has also been an active author and participant in a number of other organizations, and recently became a member of NINCH's executive committee. Chuck will bring some different and very important skills to ARL; Chuck, I welcome you.

MS. WERNER: Ann Wolpert, will you please join us and introduce to us Bernard Margolis from the Boston Public Library?

MS. WOLPERT (Massachusetts Institute of Technology): Well, when Dick De Gennaro introduced me at this time last year, I never imagined I would be the senior member of the Massachusetts delegation. I am thrilled to welcome someone who I think will be another non-traditional member of the ARL contingent. Bernard Margolis is President of the Boston Public Library, and represents where librarianship is going in terms of the management responsibilities that we all share and struggle with.

Since 1988, Bernie has been the head of the Pikes Peak library district, which serves the Colorado Springs and El Paso County areas. Under his leadership the library collections have doubled, five new branch libraries have opened, and a sixth is under construction. Bernie has also received many awards, making him a prestigious member of our organization. He received the Award of Excellence from the Kennedy Center for the Performing Arts in 1993; in 1985, he was named Michigan Librarian of the Year; and, in 1990, the Colorado Library Association honored him as Colorado Librarian of the Year. Boston Public Library selected Bernie from a pool of more than 100 candidates, and we know he will make a big difference in Boston and in Massachusetts, and we know he will make a difference here at ARL. It is said that in Boston he will shape the strategic vision necessary to keep the Boston Public Library a forerunner of

library services in both research capabilities and service delivery to the local communities, for which he deserves applause. Let's hope he can do the same for us.

MS. WERNER: We have one more new director, Dana Rooks from the University of Houston, who will be introduced by Bill Crowe.

MR. CROWE (University of Kansas): There are many of us here who can introduce Dana Rooks. As many of our other new members are well known to us, so, too, is Dana, and it is a great honor to introduce her. I count her as a very special friend.

Most of us know Dana through her writings, reputation in management, her active work in ALA and ACRL especially, as well as with PACS-L and TexShare, a phenomenal success in the state of Texas. There is much to say about her, but I will try to be brief. The honor that she was just presented by the Texas Library Association says it all. She is Texas Librarian of the Year this year, no small achievement in such an enormous state. We are very proud of her for that.

Dana is a leader. The testimony is abundant on that all around the country, and she especially fosters leadership in other people, too. The best people I have ever hired are a direct result of Dana having steered them to me.

It's a great honor to have Dana with us. It is something I have been looking forward to a long time, and Houston is very fortunate to have her, as are we.

MS. WERNER: This looks like an auspicious new entering class to the ARL ranks, and it is a pleasure to have you with us. I also would like to extend a special welcome to several guests who are joining us. Diane Frankel is visiting us for the first time today. Diane is the director of the newly-formed Institute for Museum and Library Services, and I think you will all have a great time getting to know her over the course of the next few days.

We also have another special guest who has not been with us before. Please join me in welcoming Sara Parker, Missouri State Librarian and President of the Chief Officers of the State Library Agencies (COSLA). Sara is joining us because ARL is about to launch a joint effort with COSLA and the Coalition for Networked Information to gather information on networked information consortia. We are very pleased to be working with COSLA and to have Sara with us today.

George Farr, who probably does not need much of an introduction to this audience, is also with us. George, as you know, is the Director of the Division of Preservation and Access at the National Endowment for the Humanities.

We have a few other guests I do not want to miss, special friends to us all: Richard Ekman, Secretary of the Mellon Foundation; Deanna Marcum, President of the Council on Library Resources and the Commission on Preservation and Access; and John Vaughn, Executive Vice President of the Association of American Universities.

Now to the program. This meeting focuses on consortial leadership, on competition, and on cooperation. An increasing number of organizations are competing with libraries to provide services today, even as libraries are beginning to take on new information provider roles. We are really living in a very uncertain kind of environment. We compete with other units in our own universities for resources, technologies, and recognition, and heaven knows our universities compete with each other for faculty, students, and funding. But within this competitive context, cooperation is something that librarians and libraries have been engaged in for a long time and that has really been accelerating in the last several years. Cooperation can often be, and has proven to be, politically expedient. As many of us have long ago discovered, administrators look favorably, and I think understandably so, on those of us who propose to leverage our resources by working together.

You will find in your packets an interesting array of definitions that talk about various words associated with the word "consortium" (see Appendix III). For the purposes of these meetings, we are defining a "consortium" as two or more institutions engaged in a mutually interdependent relationship.

In some cases, consortial relationships present opportunity with no requirement to reallocate or think much about local resources, but in most cases these relationships do imply some loss of local autonomy. Leadership, challenging at best in a single institution, obviously becomes more complex when working in a consortial environment.

So our goal in developing today's program is to provide all of us with some insight and answers to questions such as: Why do we form consortia? How does one manage multiple consortial relationships, to say nothing of single consortial relationships? How are tensions balanced between local and consortial needs and priorities? What leadership styles and skills are really most needed to make a consortium succeed? You can see in the program how we have grouped topics to address these issues. Our keynote speaker this morning, David Campbell, will provide for us the framework for the rest of today's program when he talks about the challenges we face when leading our organizations in an environment where local priorities are guided by external expectations.

David Campbell is no stranger to ARL institutions. He attended both Iowa State and the University of Minnesota, where he earned a Ph.D. in Psychology. Currently, he is the Executive Vice President of the Center for Creative Leadership, a group that many of us have heard of and been truly rejuvenated and excited about working with.

In the past, David has served as a professor at the University of Minnesota, an honorary research fellow at the University of London, and a distinguished visiting professor at the U.S. Air Force Academy. Please join me in welcoming Dr. David Campbell.

KEYNOTE ADDRESS

DEFINING SUCCESSFUL LEADERSHIP

David Campbell, Smith Richardson Senior Fellow
Center for Creative Leadership

Thank you, Gloria. It's a pleasure to be here. When Mary Case called and asked me to join you, I accepted quickly for a couple of reasons. As Gloria indicated, I have worked on many campuses. And, like most academics, I have a love affair with libraries. You really are the central nervous system of most campuses, and I was very interested to come spend some time with the people who run these organizations.

I would like to start out my discussion by telling you a little bit about the Center for Creative Leadership. It has an interesting history, and it is relevant to the kinds of things I will be discussing. Our center is in Greensboro, North Carolina, where a young man by the name of Smith Richardson graduated from high school, in 1908. His father was a druggist there; a professional family, young Smith was expected to go to college, which he did. He went down the road a piece in North Carolina to Davidson College for a year, and then, to the family's great pride and joy, he was admitted to the U.S. Naval Academy. Six or eight months later, he was kicked out, and, although the family tells the story in different ways, it seems to have featured chewing tobacco, fighting, and various other infractions.

The South takes the military very seriously, so, according to the family story, he was too embarrassed to come home. He had blown his big opportunity. He slunk off to New York City, a 19 or 20 year-old kid. When he died some 60 years later, he left behind the better part of $1 billion. He turned out to be a marketing whiz, something that showed up in his early jobs with places like Macy's and Gimbels, where he proved to be superb at moving merchandise. His father picked up on this pretty quickly. This was before the FDA, so his father was brewing up all kinds of home remedies in the backroom of the drugstore, and he asked his son to come home to help him market his remedies. The son asked, "Let's see what your product line is. What do you have?" And the father said, "I have these 24 or so home remedies, salves, and ointments." Richardson, with the marketing brilliance that he was to demonstrate his entire life, said, "That's too many. We're a small outfit. Pick your best product and go with it." The father said, "Well, the product that is selling best is Richardson's Magic Croup and Pneumonia Salve."

Richardson replied, "We have to do something about that name. Tell me about the product." The father said, "It's a cold remedy. It has mentholatum in it. You take it out of the jar, you rub it on the person's chest, the body heat vaporizes menthol, it cleans out the sinuses, and people feel better." Smith Richardson had an uncle named Vick at that time, and so that's how, in about 1910, Vicks VapoRub was created in Greensboro, North Carolina. That was the first product. In 1926, Richardson went north, went on the New York Stock Exchange, established headquarters at 42nd and Lexington in Manhattan, and his business went international.

In 1935, he stepped aside from running his company to ask the question, "What is life all about anyway?" As a result of that, he struck up an agreement with the Internal Revenue Service to set up a foundation in which to put money and let it sit until the income reached $500,000, a year. Today $500,000 is an enormous chunk of money. In 1935, in the depths of the depression, it was huge. Later, in the 1960s, Richardson said to his family, "We should return funds to the society that has served us so well." As he was always a man of creativity and leadership, he took 20 acres of beautiful family land—north of Greensboro, on a little lake—and, in 1970, chartered an institution called the Center for Creative Leadership. He built a 35,000 square foot building, which was dedicated in June of that year. The governor, senators, CEOs, and military leaders came for that dedication. The following February, Mr.

Richardson passed away. So, he lived long enough to see the building take shape, but not exactly the program.

One characteristic he had vis-a-vis his leadership and creativity was that he was a very strong advocate of psychological testing. He seemed to believe that somewhere there is a test, if you could just find the right one, that could be held up against people and say, "Yep, you are a leader." So, from the very beginning the Center has been a place where many psychological tests are given to individual leaders. That is how we got started.

Because I was from the University of Minnesota, after Richardson's death I was asked to come to the Center for a year to help them get their program up. Some of you may know that Minnesota is arguably the premier psychological testing institution in the world. I went down to North Carolina and never went back to Minnesota. The Center is a very interesting place: it is in a beautiful area, it has an interesting mission, and it is a fascinating building. Because the building is lavish with things like one-way mirrors and videotapes, it is a real fishbowl for anybody coming there in an assessment sense. Over roughly the last 25 years, I have had an intriguing opportunity not only to rub shoulders with many people who are in charge of various kinds of institutions, but to learn a tremendous amount about them through the vehicles of psychological testing, videotaping, questionnaires from subordinates, and so forth. We are a data-rich environment, and I would like to make my comments today, I hope, based on that kind of background, and what I see happening first with leaders.

We spent most of the first 10 or 15 years focused on individual leaders. Then we learned that leaders are almost always embedded in some context, whether it is a team or division, that also needs our attention. So we have somewhat broadened our thoughts away from just the characteristics of the individual leader, towards studying the context within which the leader is operating.

When Mary Case called and said, "We would like you to talk about consortial leadership," I said, "Tell me what that means to you." As she talked, I realized that that sort of consortium direction is happening everywhere. It is not just between organizations. It is also within organizations. Managerial levels of all kinds are being downsized, and, whether it is in the corporate world, the military, or the university, you see much more emphasis on people working together as teams, with no direct structure of responsibility to each other. The consortium approach is really riding that organizational wave.

My goal for today is to discuss a kind of needs analysis for organizations, what needs to be going on within the organization so its people can say, "Yes, we're being well led." I would like to go over with you now a list of environmental characteristics that my experience suggests must be attended to, else the organization will feel it is being poorly led.

As we go through this list, any reasonable person has to agree that no one person can do all of this. So leadership has to be present everywhere in an institution, at every point. One way I sharpen my own thinking about that stems from a quote I heard from a chief executive officer (CEO) several years ago. He said that a CEO's responsibility is to ratchet up the organization a notch or two every year. It is a very simple-minded concept, and I thought about it a lot. I like it because it is easy to understand, and I also believe it applies to virtually everybody within the organization, no matter your position. If you accept, as your responsibility, ratcheting up your part of the organization a notch or two every year, the organization will get stronger, whether you are running a library, cafeteria, or warehouse.

I will go over the list of qualities very quickly—I have called them seven crucial constant continuing tasks—and then we will spend some time on each dynamic. They apply in every organization, whether it is corporate, military, academic, governmental, university, libraries, or symphony orchestras. We have branches in Colorado Springs, Brussels, and San Diego, and we spend about two-thirds of the time with the corporate world, about 25 percent with government, and 10 percent with nonprofit, so a lot of my jargon will be tinged with business vocabulary. I apologize for that to some extent, although, as I said, most of these

are universal. I see these dynamics virtually every place I turn, including in other countries where we have done a fair amount of work.

Here are the qualities:

- Vision: To clarify the general overall goals of the organization.
- Management: To focus resources on these goals.
- Empowerment: To select and develop subordinates committed to these goals.
- Politics: To forge coalitions with peers, superiors, and important outside decision makers; one could also call this quality "alliance building" or "coalition formation."
- Feedback: To listen carefully to clients, customers, or voters, which is really our specialty.
- Entrepreneurialism: To define future opportunities.
- Personal Style: By personal example to set an overall organizational tone of competence, optimism, and integrity.

Let me spend some time on each one of those.

Vision (Figure 1). What does vision mean? A lot of people think that people in other organizations, like corporations, have the power to set visions, whereas in the academic world, for instance, you have to go through messy committees and task forces and listen to the faculty and administration. Believe me, it is the same all over. There are very few people who can sit down and say, "This is what we're going to do." Everybody is embedded in some kind of historical context. Corporations are affected by existing business strategies and technologies, talented experienced people with their own agendas and positions of power, and by a pattern of past financial dynamics. People, like Leo Gerstner when he went into IBM, do not have the power to say, "This is what we're going to do." Gerstner had to build a vision that people would buy into. The vision must accommodate all of these pre-existing factors and still set a firm future direction. Vision is very necessary, but it still has to be pretty forceful, and the vision as specified had better be one people will buy into.

The things that are measured under vision are: farsightedness, an enterprising nature, persuasiveness, and a global view. I might also mention resourcefulness: taking advantage of something going on around you that you can use to push forward your agenda. That is something some leaders just have an instinct for; they use resources to build more than was initially there.

Then we come to management (Figure 2). Even the most brilliant vision must be managed. Efforts must be expensed on pragmatic issues such as budgets and appraisal policies; kingdoms really have been lost for want of a horseshoe nail. You may have a charismatic leader, someone whom everybody will follow, but if she or he cannot handle budgets and schedules, the effort will go downhill. You have to pay attention to details.

Then comes empowerment, which is, to some extent, a more modern kind of thinking (Figure 3). You do not find much mention of empowerment in the leadership literature before about 20 years ago. Empowerment is the selective development of subordinates committed to goals. Organizations must turn sufficient responsibilities over to members of the lower ranks for two reasons. One, to permit them to make important decisions about which the upper ranks are not well informed enough to make themselves. The second reason to empower others is to build your leadership cadre for the next generation. If you do not give people a chance to take some risks and to run some things, you will not have the next generation of leaders.

The last point is of particular interest to me as a psychologist. In every organization, personnel cycles are much longer than product development or financial cycles. Current decisions will affect the work force for decades. New faculty members will affect the nature of their university for the next 30 or 40 years, yet most people making hiring decisions really do not think that way, that whatever they do in the next three or

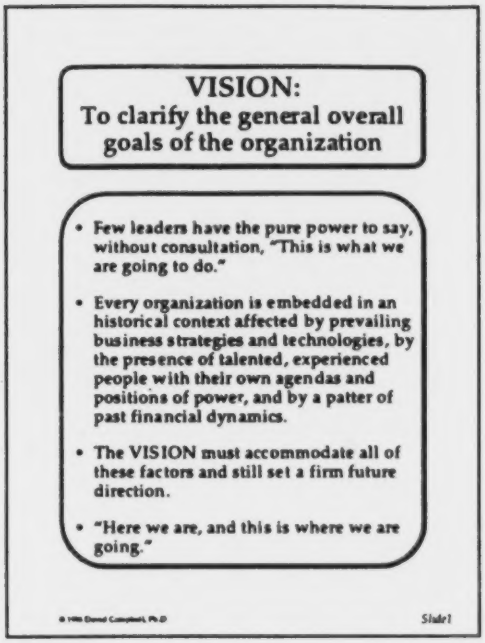
VISION:
To clarify the general overall goals of the organization
• Few leaders have the pure power to say, without consultation, "This is what we are going to do."
• Every organization is embedded in an historical context affected by prevailing business strategies and technologies, by the presence of talented, experienced people with their own agendas and positions of power, and by a patter of past financial dynamics.
• The VISION must accommodate all of these factors and still set a firm future direction.
• "Here we are, and this is where we are going."
Slide1

Figure 1

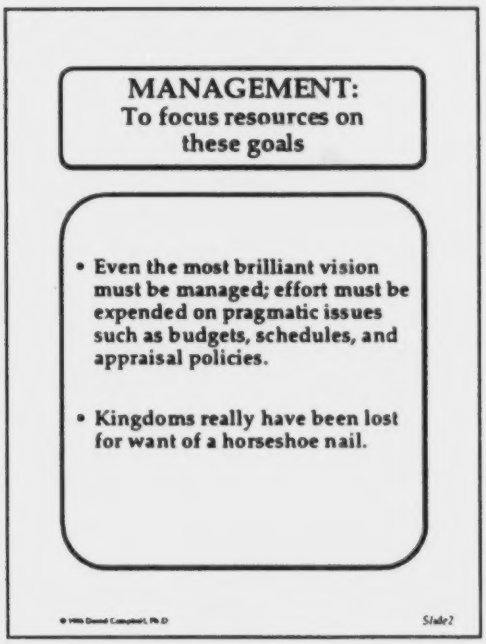
MANAGEMENT:
To focus resources on these goals
• Even the most brilliant vision must be managed; effort must be expended on pragmatic issues such as budgets, schedules, and appraisal policies.
• Kingdoms really have been lost for want of a horseshoe nail.
Slide2

Figure 2

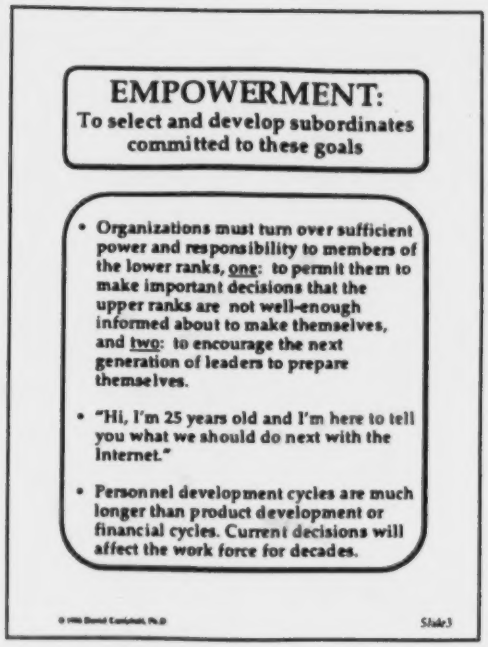
EMPOWERMENT:
To select and develop subordinates committed to these goals
• Organizations must turn over sufficient power and responsibility to members of the lower ranks, one: to permit them to make important decisions that the upper ranks are not well-enough informed about to make themselves, and two: to encourage the next generation of leaders to prepare themselves.
• "Hi, I'm 25 years old and I'm here to tell you what we should do next with the Internet."
• Personnel development cycles are much longer than product development or financial cycles. Current decisions will affect the work force for decades.
Slide3

Figure 3

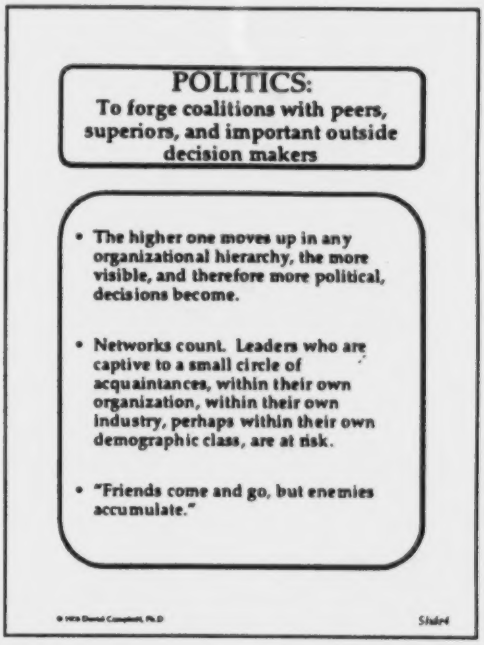
POLITICS:
To forge coalitions with peers, superiors, and important outside decision makers
• The higher one moves up in any organizational hierarchy, the more visible, and therefore more political, decisions become.
• Networks count. Leaders who are captive to a small circle of acquaintances, within their own organization, within their own industry, perhaps within their own demographic class, are at risk.
• "Friends come and go, but enemies accumulate."
Slide4

Figure 4

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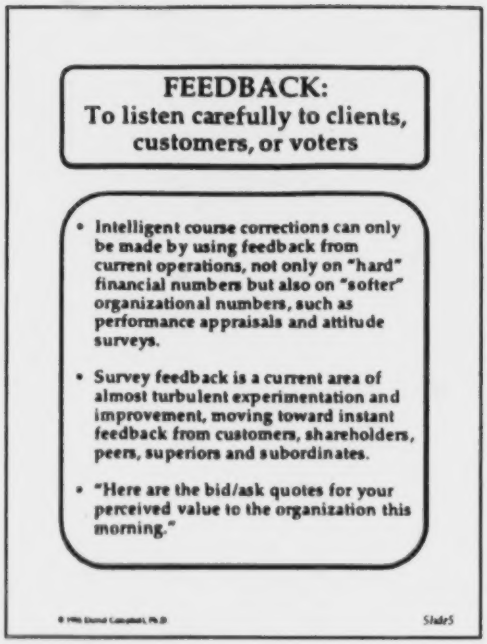
FEEDBACK:
To listen carefully to clients, customers, or voters
• Intelligent course corrections can only be made by using feedback from current operations, not only on "hard" financial numbers but also on "softer" organizational numbers, such as performance appraisals and attitude surveys.
• Survey feedback is a current area of almost turbulent experimentation and improvement, moving toward instant feedback from customers, shareholders, peers, superiors and subordinates.
• "Here are the bid/ask quotes for your perceived value to the organization this morning."
Slide5

Figure 5

ENTREPRENEURSHIP:
To find future opportunities
• New ideas: The most potent source of added value.
• Realistically:
– Quality is *a given; all your top competitors will have it.*
– Customer satisfaction is *a given; all your top competitors will have it.*
– Cost effectiveness is *a given; all your top competitors will have it.*
Only your new ideas will truly set you apart.
Slide6

Figure 6

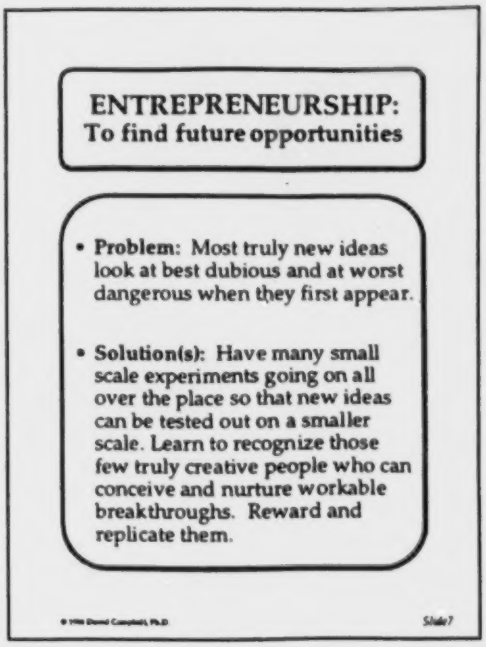
ENTREPRENEURSHIP:
To find future opportunities
• Problem: Most truly new ideas look at best dubious and at worst dangerous when they first appear.
• Solution(s): Have many small scale experiments going on all over the place so that new ideas can be tested out on a smaller scale. Learn to recognize those few truly creative people who can conceive and nurture workable breakthroughs. Reward and replicate them.
Slide7

Figure 7

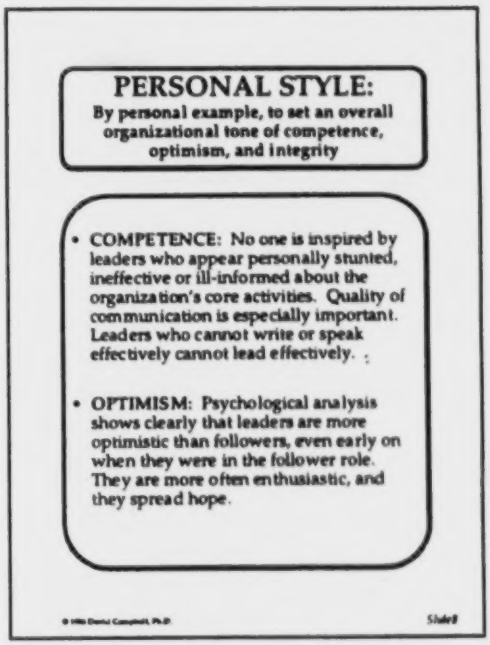
PERSONAL STYLE:
By personal example, to set an overall organizational tone of competence, optimism, and integrity
• COMPETENCE: No one is inspired by leaders who appear personally stunted, ineffective or ill-informed about the organization's core activities. Quality of communication is especially important. Leaders who cannot write or speak effectively cannot lead effectively.
• OPTIMISM: Psychological analysis shows clearly that leaders are more optimistic than followers, even early on when they were in the follower role. They are more often enthusiastic, and they spread hope.
Slide8

Figure 8

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four years will dramatically determine the nature of the organization for decades. Hiring decisions are extraordinarily important. They are more important than many other budget decisions precisely because of their long-term impact.

Here are the empowerment adjectives: encouraging, supportive, trusting, observant, and socially comfortable. Incidentally, you will notice that the last item in this list, as is the case with the other lists, has to do with international activities. In this instance, "socially comfortable" has to do with whether or not the person is comfortable internationally, but also across cultural boundaries in our own country.

The next item on the list is politics, which I think is fascinating (Figure 4). Politics are necessary to forge coalitions with peers, superiors, and important decision makers outside the organization. The higher up one moves in any organizational hierarchy, pyramidal or not, the more visible and therefore more political the decisions become. Networking counts. Leaders who are captive to a small circle of acquaintances within their own organization, within their own industries, perhaps within their own demographic class, are at risk. At first, I was dismayed—I guess I still am a bit dismayed—about how insulated people are. Most people know their own organization and maybe their own industry, but there are very few people who can easily cross organizational, industrial, or demographic boundaries. To put it in different cultural streams, most people are captive to their own demographic profile, whatever that is. I have sat in group after group, listening to people say, "We need somebody who has some experience around Washington," or "Someone who knows people in the labor movement or in the Hispanic community." People who make those cross-boundary connections are relatively rare, because it takes a lot of effort. Truthfully, we are more comfortable with the people who are like us.

The next quality is feedback: listening carefully to clients, customers, or voters (Figure 5). In any organization, intelligent forward direction can be made only by using feedback from current operations, not only hard financial numbers, but also softer organizational numbers, such as performance appraisals and attitude surveys. This is our Center's technology, and survey feedback right now is in a current era of turbulent experimentation. We are moving towards instant feedback from customers, shareholders, peers, superiors, and subordinates.

Then we have entrepreneurialism, new ideas (Figures 6 and 7). I am impressed with the thrust I see in this group towards new ideas. You might think that what I am saying here is focused only toward a competitive for-profit organization, but I think it can easily be generalized. If you are running a good organization, you cannot be very safe, because realistically, quality, which most organizations strive for these days, is a given. All your top competitors are going to have good quality. All your top competitors will know how to deliver customer satisfaction. Cost effectiveness is a given.

The only thing that will set you aside is new ideas. It is very difficult in organizations to encourage new ideas without feeling that you are losing control as the manager. It is one of the toughest issues a manager has, where to draw the line between control and support. Most truly new ideas look dubious at best and, at worse, dangerous when they first appear, because if they did not, they would probably have already been used. The solution in most organizations is, as a manager, to have a lot of little experiments going on all over the place, experiments that you, as a manager, can suffer failure from and not be done in for your career. It is stupid to try career-ending new risks. Sooner or later, one of them will fail. But it is not stupid for you, as a manager, to encourage people underneath you to take risks that might not be too big for them, because if they should fail, you can protect them. Here are the characteristics that go along with entrepreneurialism: creativeness, adventuresome, ingeniousness, durability, and globally innovative.

I would like to talk a bit now about what we expect from a leader (Figure 8). By personal example, we expect an overall organizational tone of competence and integrity. The quality of communications is especially important. Leaders who cannot write or speak effectively cannot lead effectively.

Another quality that good leaders demonstrate is optimism. Psychological analysis shows clearly that leaders are more optimistic than followers are. Even earlier on, when they were in the follower role,

they spread hope. There are two streams of research going on in America right now that are very persuasive. One is from Stanford University (Professor Albert Bandura), and the other one is from the University of Pennsylvania (Professor Martin Seligman). Both have 20-year programs, and the bottom line for both of them is that optimism is valuable. You were probably told that years ago, but we now have really good data showing that optimistic people are the ones who tend to make things happen in the organization. Leaders tend to spread hope.

Finally, integrity is necessary. Leaders have to be people you can trust. We have found that people who are seen as low on integrity—people who come to our center and are rated by their subordinates as low in integrity—are seen as such because they make decisions about other people without explaining the reasons why. It is not because they are corrupt; they just are not perceived as predictable, as trustworthy.

To conclude, the only true currency you are accumulating as a leader is your character. No matter how much power you achieve, no matter how wealthy you become, there will be times—many times actually—when you will be thrown back upon your character, your self-discipline, your durability and resilience, your innate sense of fairness, and your bedrock sense of values. The external manifestation of this collection of characteristics is your reputation, and this is what will be left behind on your tombstone.

I was supposed to leave some time for questions. Are there any comments?

(Audience-Member): All of have us encountered what you have mentioned, more and more places asking for feedback. I find that I rarely fill out questionnaires or customer opinion cards. I have to be reduced to an emotional pitch before I will sit down and fill one out. Does capturing only those people who are sufficiently stirred to give feedback really allow you to see what's important in the way people are reacting, or does that distort it?

DR. CAMPBELL: I think that you are typical. But I will tell you that the people who collect those response cards tell me that they do listen. My inclination would be to say to you, don't wait until you are in a real snit to fill in a card. I don't know if I have answered you or not, but I will tell you that organizations don't ignore those responses.

(Audience Member): Can you share with us some information about leader differentials from, let's say, industry, government, and higher education?

DR. CAMPBELL: Well, we have not found very much difference between good leaders in various settings. Good leaders have a vision. They set goals, get feedback, and encourage people. Those qualities are universal.

People always ask me, "Aren't there differences, for example, between men and women?" If you find men and women with equal experience, we do not find behavioral—particularly in the top managerial ranks—differences.

Thank you very much.

MS. WERNER: Thank you, David, for a fantastic presentation.

PROGRAM SESSION I
COOPERATIVE VENTURES:
EXPERIENCES FROM OTHER SECTORS

INTRODUCTION

Carole Moore, Chief Librarian
University of Toronto Libraries

We would like to begin our next session. I'm Carol Moore from the University of Toronto, and it is my very great privilege and pleasure to introduce Program Session I: Cooperative Ventures: Experiences from Other Sectors. I am sure you will all find this as fascinating as I have in talking to our next speakers.

First of all, I would like to thank David Campbell, again, for doing such a great job in his keynote address of setting the foundation on which these next presenters will build. As we have seen, collaboration on an institutional level is often confusing and is always a complex undertaking. In this next panel, we have asked the presenters to explore the challenges and pitfalls faced when embarking on cooperative ventures.

Our first speaker will be Dr. Gilbert Merkx, Director of the Latin American Institute at the University of New Mexico. He received his undergraduate degree at Harvard and an M.A. and Ph.D., both in Sociology, from Yale. He has also served with distinction as an instructor, professor, and visiting researcher at an impressive number of universities, including the Universidad de Huamanga in Peru, Yale University, the Instituto Torcuato Di Tella in Buenos Aires, the Latinamerika Institute in Stockholm, Goteborgs University in Sweden, and, of course, the University of New Mexico. Dr. Merkx will provide insight into the leadership skills and methods endemic in cooperative projects involving universities and the federal government, including some of the possible pitfalls and successes.

Our second presenter is Thomas Garcia, Director for Institutional Development, Los Alamos National Laboratory. Mr. Garcia will explain the critical metamorphosis that is taking place at Los Alamos. He earned an M.B.A. from the University of Denver and a bachelor's degree from New Mexico State. Prior to joining Los Alamos, Mr. Garcia was Vice-President and CEO of U.S. West Communications, and he has also served as director and chairman of the board for several institutions, including the Albuquerque Hispano Chamber of Commerce, the T-VI Foundation, and the New Mexico Hispanic Cultural Foundation. Mr. Garcia will highlight the transformation of the government laboratory heavily involved in the defense sector to an organization that aims at Baldrige-level performance to challenge its private sector partners.

Maxwell Anderson, our final presenter for this session, is Director of the Art Gallery of Ontario, and liaison for information technology at the Association of Art Museum Directors. Prior to Ontario, Dr. Anderson directed the Michael Carlos Museum at Emory University, and was Assistant Curator of Greek and Roman Art at the Metropolitan Museum of Art. He earned his Ph.D. in Fine Arts at Harvard University.

We hear from him about the Art Museum Image Consortium (AMICO), about which I believe many of you have seen some draft information. It was recently formed to collectively administer the educational licensing of digital intellectual property of North American museums. Dr. Anderson will discuss how AMICO was formed and developed and how the arts community views consortia as an approach to address licensing issues.

Please join me in welcoming all our speakers.

COMPETITIVE COOPERATION AMONG FOREIGN LANGUAGE AND AREA STUDIES CENTERS

Gilbert W. Merkx, Director
Latin American Institute
University of New Mexico

Good morning. I will be speaking about the effort to effect cooperation out of the normally competitive, chaotic environment that characterizes the nation's foreign language and area centers, something I have called "competitive cooperation." Essentially, in the last decade we have gone from a Darwinian environment marked by survival of the fittest to a community that is marked by cooperation for the common good.

I am currently Co-Chairman of the [Higher Education Act] Title VI federally-funded Council for National Resource Centers for foreign language and area studies on U.S. campuses. This is a case study of how one sector of the academic community across the nation brought itself together, a study which I hope will also provide some lessons for research libraries.

I will first give some contextual background on these centers, the legislative history. Secondly, I will summarize the future of the previously described Darwinian period. Then I will talk about the efforts to generate new patterns of behavior, which were first marked by failure and finally marked by success. I will then discuss some of the features of the current cooperative stage, and, finally, I will draw a few conclusions. Many of my conclusions will appear in the course of the remarks.

But, by way of preface, I would like to suggest there are two perspectives that are useful in understanding these processes. One is the "gain theoretic" or "rational choice" model, which is very good for understanding the behavior of institutions in a fixed context, such as in the Darwinian or current cooperative period, but it's not a very good model for understanding how you get from one period to another. Gain theoretic models depend on the gain, thus, these models do not explain behavior in a fluctuating period; they only explain behavior when there are established rules that let the contestants know how to act.

I will therefore make some references to a "collective behavioral" model using Neil Smeltzer's "classic" or "behavior" period, a structural-based model that is very good at explaining change. Smeltzer argues that social systems—like the United States—are based upon resources. They are composed of organizations that utilize those resources. There are, then, norms for behaving within those organizations, and, finally, members of the organizations believe that certain things have values. In his theory, Smeltzer argues that most episodes of collective behavior come about because of problems with the resource base. Because of this lack of resources, there are structural strains and then an organization or set of organizations begins to have trouble completing their mission. This leads to anxiety among the members of the organization or the collectivity of the development, what he calls "strain," and then there is usually some kind of precipitating incident that causes the community or the organization to mobilize in some different way.

So let me go now to the background of the community of foreign language and area studies, a background that is necessary in order to understand the sequence of events I am going to describe. Foreign area studies in the U.S. has been a boom-and-bust enterprise. High points took place because of World War I and World War II, moments when the United States came face to face with the rest of the world and decided it was useful to speak foreign languages and know about those funny countries. Following these wars, interests waned, efforts imploded, and foreign area studies fell on hard times. We were rescued as an

enterprise by Sputnik, in 1957. Sputnik was a real shock to the U.S. body politic. It seemed to suggest the Russians were ahead of us in outer space, and, of course, they were.

So the Eisenhower administration responded by passing the National Defense Education Act of 1958 (NDEA), the federal government's first significant effort to provide aid to higher education. The NDEA's primary intent was to train scientists and engineers, but a forward-thinking person—Elliott Richardson, later of Watergate fame—felt that it would be useful, in addition to training engineers, to train people to know something about the rest of the world because we were competing with Russia not only in outer space but on the ground. So a provision called Title VI was added, which, actually, had previously been drawn up at the Department of Education, and was wrapped into the legislation. This led to a very rapid buildup of federal funding for foreign area studies during the 1960s. The promotion of this enterprise was based on the partnership between the government and higher education.

Through much of the 1960s, major foundations joined in very enthusiastically. The Ford Foundation, for example, was putting $27 million a year into foreign area and international studies in the U.S.—an extraordinary sum, over $100 million a year in today's dollars.

But the critical thing was the federal role. It involved peer review, an applicant ranking system. For the first time we had in the foreign area studies community a type of ranking formula. You knew where you stood. And, if you ranked high enough, you got more money.

The experiment worked very well. It's a unique way of approaching foreign area studies, and it's unique to the United States. For most other countries at that time, foreign area studies competed with intelligence agencies, government think tanks, or in national academies. Over time, other programs were added: undergraduate programs, a library program, language programs, a business program. So the Act began to broaden.

A couple of comments about the anomalous nature, or some of the internal contradictions of the system, are worth mentioning. The model is pluralistic and redundant. There are multiple centers for Latin America, a dozen centers for Russia, and so forth. So redundancy is built in the system. It's government-supported in part, but most of the money has been leveraged out of universities. Universities are organized to run disciplines, but area centers are not, and, in fact, these foreign area programs probably represent the only serious interdisciplinary effort that exists at universities. There are three core constituencies on campus that make these work: foreign area faculty members, language instructors, and the library, a trio to which I will return.

The system has played, over the years, two kinds of roles, a foundational role and a flagging role. The foundational role turns out people who speak languages and know about the rest of the world and who get hired by the government. The State Department is filled with these people, as are the universities.

The flagging role that this community, outside of official Washington, plays is a kind of democratization of intelligence. They are studying the rest of the world. They are close observers of what happens, and, quite frequently, the information coming out of this community contradicts American foreign policy in one form or another, or it may contradict assertions being made by our intelligence communities. For instance, the last big flare-up of this was when, not very long ago, a CIA director who had been nominated by President Bush claimed the Russian threat greater than was previously thought. The foreign area community responded, "These estimations are without fact," which was, we now know, right, of course. So, these are the flagging functions, and they have led to unpopularity in certain administrations for this program. The peak of federal funding was in 1967, with an appropriation of what would now be $63 million. Now, you add to that about $100 million from the Ford Foundation and other money from Mellon, Rockefeller, Pew, and Carnegie, and you can see that those were the glory days. That was a building period.

Then the Nixon administration tried to kill the program, and, in 1971, it collapsed to a funding level of $24 million (in 1991 dollars). It stayed essentially at constant or low levels of funding, gradually climbing up in the Carter administration to an appropriation of $31 million. We're now in a Darwinian period. The resources are very, very scarce. After the Nixon administration, they stayed scarce, and then the Reagan administration came in and again attempted to kill the program. Although it was saved by a democratic Congress, the appropriations were cut again, falling to $26 million in 1982. By 1989, the appropriations were still only $28 million—$28 million in constant dollars, in actual appropriations, $26 million. Keep these numbers in mind, because this isn't very long ago, just eight years.

Also during this time, the foundations withdrew their support, by and large. The Ford Foundation turned elsewhere in the 1980s, and, with a few exceptions like Mellon and small foundations like Tinker, the wonderful community support disappeared.

So the Darwinian period was upon us. There were competitions every three years for redesignations of the federal centers. Usually twice as many universities applied as there were spots for funding. There were benchmarks of quality, which were pretty standard: the number of language faculty, the number of courses offered, the number of students enrolled, the size of the foreign area collections in the library. Each center tried to present itself as unique, with a constellation of resources superior to its neighbor's—there were very sharp fault lines. For each world area, there was vicious competition, and Latin American studies, which is my field, had the reputation of being the most vicious of all in terms of how we sold ourselves and what we said about each other.

There was also competition across the world areas about how the federal pot would be divided. For example, Latin American studies was furious that Asian scholars had been divided into three areas: east Asia, south Asia, and inner Asia. We thought this meant Latin America should be divided into Caribbean, Central America, and South America. And the Afrikaners felt they were getting the short end of the stick, as they always have.

There was an unhappy relationship between the administrating staff at the Department of Education and the area studies community. The staff tended to develop what I call a welfare department syndrome: they thought the money was theirs, and treated us as welfare clients. But the scholars, of course, thought they were important and resented that treatment.

There was competition on campuses for scarce resources, as well. For instance, UCLA has several of these centers. The universities would ask the administration for money for their program so they could compete better, and the administration would have to choose, among the faculty lines and the budgets.

Finally, as the program expanded there was fighting going on between the original programs of the area centers and the business centers, which had been added, the graduate programs, the language resource centers, and so forth. There were more and more programs to be funded with a declining sum of money.

Now, from a gain-theoretic perspective, let me mention the teachers. The institutional context was entirely static. The resources were declining. The system for allocating resources was based on insidious comparison, and there was open entry for new competitors. This has all of the hallmarks of a zero sum gain—I win, you lose. Of course, many of us were aware that this was a bad situation, and there was fear in the community that eventually the whole game would end and we would all be out on the street, or at least our programs would wither and die on campuses.

There were efforts made to do something about this, in essentially two phases. This is the period of anxiety and strain in Smeltzer's model, as people are trying to figure out how to cope with the bad resource situation. Top-down efforts came first. In 1979, President Carter appointed the first presidential commission on foreign language and international studies, commonly known as the Perkins Commission, which called for a major increase in the federal support level, three times the level at the time. Among others, provisions were annual federal grants of $50,000 for each center for library purchases. That would

have made a real difference. But Congress ignored the Commission's recommendations, and President Carter failed to be reelected. This was followed by another commission, the Gardner Commission, which raised recommendations that were also ignored by the Congress and by the President.

In 1983, a different kind of top-down experiment was initiated by Robert Ward of Stanford University, who attempted to broker inside the Reagan administration. He sought to reestablish the configuration of allies behind area studies that had existed during World War II through the OSS and the universities, and he enlisted support for a plan to provide the National Security Council with substantial funding to pump into area studies, to be headed by a blue-ribbon group of scholars, but that would provide a new and different source of money to universities. You can imagine what happened when the community discovered that the National Security Council would be throwing out additional funding—there was an incredible flap in the nation, and the Ward plan failed before it really got off the ground.

That was 1983. A number of people recognized that they had this terrible problem and decided to take a different tact: bottom-up efforts. One of the first bottom-up efforts was NCFLS, National Council for Foreign Language Studies, organized by Rose Hayden, a former congressional staffer. She got some money, put together a council, planted a lot of newspaper stories, held some conferences, and did some studies. But she lacked the campus base, and the effort eventually lost support and dwindled away. Not too long afterwards was the AAU white paper: a group of scholars persuaded Bob Rosenzweig, president of AAU, and John Vaughn to back an effort to set up a new national foundation, based on the National Science Foundation, for international studies. This white paper caused a fire storm, surprising all the people involved in this draft document, because AAU is, of course, an elite university association, and the other institutions thought this was money earmarked for AAU institutions, so they were against it, even though that was not the intention. So that was shot out by internal divisions inside the community. Another effort was then made, and poor Bob Rosenzweig again went on the firing line on its behalf. A number of organizations got together and raised some money from foundations to set up the Council for the Advancement of Foreign Language and International Studies (CAFLIS), which was to be open to all organizations. CAFLIS staff mounted an effort that took a bit more than two years, mobilizing about 168 organizations that had something to do with international education. They all signed on, went to the meetings, and came up with a plan for a national endowment for international studies. What happened? As soon as the plan was drafted, half the people didn't like it and refused to sign on to it, even though they had agreed to it at the meetings.

In this process, we began to discover that this area of international education was not one community but many, different tribes with different interests. Some people want foreign students; others want to send students abroad. Some people believe all Americans should be bilingual—English with Spanish or French; other people think we ought to do a Title VI, preparing experts who speak Swahili or Farsi.

So there were all sorts of different ideas about what should be done, and it was impossible to come up with a single plan. At that point, my community, which was well represented inside CAFLIS, got really scared. We thought that nobody could save us, no top-down or bottom-up plan would work. We felt like we were on our own, and that we would have to get our act together. Several center directors began to say, "We're really headed for obsolescence. We have to do something."

So we got together. We organized ourselves into the Council for National Resource Center Directors, and we looked for allies. We found change agents with other organizations. We built ties to ARL and other Dupont Circle organizations. We ended up forming a coalition with 28 other organizations, and we found a common agenda. We learned about other groups. We learned the Washington system. We currently are raising, through our coalition, about $75,000 a year, and our relationships have proved to be pretty durable. How do we work? We have dues, $300 per center. That gets us $30,000 a year, which we put in a pot. We network via e-mail, and we have conferences. We now have relations across world areas. We have common agendas: authorizations of legislation, appropriations, means of coping with the Department of Education staff, sharing resources, etc. We have a community-wide identity. We have had one successful

reauthorization, and we are facing a new one. Our big success story has been the appropriations, which have gone from $26 million to $54 million in current dollars, approximately doubling even real dollars.

So, was there strain? Yes. It led to new patterns of behavior and a new kind of gain based on cooperation rather than conflict. You need change agents, people who represent organizations and build bridges. All of the federal relations people are that by definition, people like John Vaughn and Prue Adler. We have change agents in the foundation world, like Richard Ekman. There are people who move back and forth and build bridges between and among libraries, as Deborah Jakubs does. If you have change agents and you have strain, things can happen. In the library situation, you have a lot of strain, trying to do more and more with less and less. You are at the stage where you are ripe for mobilization and ripe to develop more cooperative kinds of links.

PARTNERING AS A COMPETITIVE STRATEGY: LESSONS FROM THE LOS ALAMOS NATIONAL LABORATORY

Thomas Garcia, Director for Institutional Development
Los Alamos National Laboratory

Good afternoon. Thank you for inviting me to be here today. I'm not surprised to hear that America's research libraries are contending with the same winds of change that we face at the Los Alamos National Laboratory. And the theme of your gathering—Cooperating in a Competitive Environment—shows you've come to just about the same conclusions as we have up at the lab.

It's also especially fitting that you gather here in Albuquerque. A truly western city. Because the challenge—and the myths—of the American West have shaped so many elements of our national culture, and how we all do our work.

One personification of the myth, embellished by Hollywood, is of the Lone Ranger, the solitary gunman riding into town to clean things up. John Wayne and Clint Eastwood didn't become cultural icons by portraying consortial leaders. They played isolated individuals who kept their mouths shut, let the others make fools of themselves with words, and then when action was demanded, gave it—usually from a gun barrel.

Today, as we talk about the very different kinds of challenges in a world that now seems the size of a PC terminal, I want us to keep the Lone Ranger in mind. Because, politically incorrect as he was, he symbolized individual creativity. Let's not forget him altogether.

Now, Los Alamos in its corporate style is a hybrid of two influences. First, it is very much a government culture. And while it might seem a stretch to compare Uncle Sam to the Lone Ranger—maybe it isn't. Culturally, your federal government isn't used to partnering. It's used to being in charge, and trusting no one. Just look at the IRS, or federal procurement practices, the whole mentality of enforcement. The assumption there is that everyone outside the government is potentially a crook, and so government/non-government agreements must be constructed accordingly. This just doesn't encourage partnerships.

The other cultural influence at Los Alamos is traditional university administration. For, remember, most of the employees up on the mesa are employees of the University of California, which has the administrative contract to run the lab for the Department of Energy. Of our headcount, about 7,000 are UC employees and only about 70 are Energy Department employees. And while you don't think of universities as home to lone rangers, either—in fact, they might be. Just think of faculty competing against one another for tenure, guarding research funds, promoting pet projects, departments competing against one another. I'm reminded of the adage about universities, "Never was such treachery undertaken for stakes that were so small."

But much as we in Los Alamos may yearn to be free and riding the range, to survive, we now have to get along. An armchair philosopher told me about ten years ago that our era would be marked by things running together. Distinct movements, ideas, and causes would begin to overlap and lose their definition. For example: the last major communist dictatorship in the world utters not a peep about the evils of capitalism; the Chinese communist market economy roars along setting growth records; while nominally democratic Russian economy looks a lot like Chicago gangland. And the so-called western capitalist powers, particularly in Europe, seem stagnant and hamstrung—they deal with the earthquake of change like the old Kremlin once did: by denial.

I represent an institution that's still learning, firsthand, the lessons of change. How so? First, our big bad foreign enemy deflated like a hot air balloon almost overnight. And in its place, we face dozens of national adversaries—whether rogue states or rampant viruses, groundwater pollution or disintegrating nuclear stockpiles—that demand more than a nuclear blunderbuss. Second, our great big government patron isn't a growth industry anymore. Whereas in Dwight Eisenhower's day half of your tax dollar went for defense, only 16 cents is going for defense under Bill Clinton and Newt Gingrich. In fiscal year 1997, we're spending the lowest amount of the U.S. Gross National Product for defense since 1939.

And yet our mission at Los Alamos hasn't gotten smaller. If anything, it has grown. Our core mission has become "To help reduce the global nuclear danger." This includes:

- stewardship of the nation's nuclear arsenal, but without nuclear testing and no new designs;
- guarding against nuclear proliferation and other weapons of mass destruction; and
- dealing with the nuclear legacy of half a century of weapons production, including environmental considerations.

So it's clear that despite the fall of the evil empire, our workload at Los Alamos hasn't gone down. Testing weapons without being able to actually detonate them is a real challenge. The other assignments push us to the limit. Yet our federal budget share is now competing with everything from the peace mission in Bosnia to welfare block grants.

The defense share of our budget is holding at about $750 million, down from $1.1 billion in the Reagan administration. Yet, rather than shrivel away or stagnate with the Feds, we have committed ourselves to staying at the billion-plus level. We're making up the difference through cost-savings and new partnerships with industry and universities, collaborating with our home communities and with the other research labs. Just as you're learning to partner in a time of growing workload and uncertain dollars, so are we.

Specifically, we have to stay at the forefront of science, and we have to use state-of-the-art technology. And Los Alamos' years of partnering tell me that to do world-class science, we must partner with universities. And to do state-of-the-art technology, we must partner with industry.

In other words, we aren't joining consortia just to be good citizens. It's in our enlightened self-interest. Now let's look at how we've done this.

As for partnering with academe, we've always done it, but our links to universities are more important than ever now. And while we need universities, they also need us. This is especially true in the area of high-performance computing.

On the human level, we bring over 1,000 faculty members and 350 postdocs to Los Alamos every year. In addition, we host 1,400 students every summer. These visitors and other university programs break out into three areas:

- individual research collaborations,
- research teams, and
- user research facilities.

As for industry partnerships, we know that private industry performs over 70 percent of all the research and development in the U.S. We need to stay abreast of that and leverage it for our own uses whenever possible. It's in the interest of taxpayers, shareholders, and the quality of the work we all do. Areas where collaboration is especially fruitful include:

- modeling, simulation, and high-performance computing;
- smart sensors;

- advanced tailored materials;
- advanced agile manufacturing techniques;
- lifetime prediction and lifetime extension of components;
- handling and analysis of huge amounts of data; and
- cryptography.

Computer partnerships are at the heart of our cooperation with industry. Our Accelerated Strategic Computing Initiative—ASCI—is a fancy name for the supercomputing necessary to simulate nuclear tests. Cray is in the process of providing us with the world's most powerful computer, capable of doing three trillion calculations per second, or three teraflops, in computer lingo.

This will put us in direct competition with our sister labs, Sandia in Albuquerque, and Lawrence Livermore in California. Our goal is to be able to do tens of teraflops after the turn of the century. But to get this done, we're partnering with industry, because machines like the Cray we're buying have such tiny markets that without our help, they might not even be produced.

Yet, once in place, these high-end computers, combined with our lab's modeling and simulation capabilities, will be very attractive to different industries for contract use.

But supercomputing isn't the end of it. As of early this year, we'd signed more than 200 cooperative research and development agreements—or "CRADAs"—with private companies. These agreements are meant to be two-way streets: private companies win access to our brains and equipment, and we're put in touch with private sector breakthroughs. Under these agreements we provide the operating cost of the particular project, while the private partner provides staff, equipment, and concepts. We estimate it could be worth many millions of dollars a year, while the running costs are only about 5% of our budget.

Under the "CRADAs" we're doing things like plasma accelerator work, counterfeit currency detectors, and even a look at how our skills might be applicable to Walt Disney animators. We intend for this to generate from between $25-50 million per year within five years.

Another area where we've partnered is with our home county, Energy Department leaders, and private firms to develop an industrial park for Los Alamos County. The first step is a 50,000 square-foot building to house research and development companies, and it looks like Motorola will be our first anchor tenant.

Our partnerships are also taking the form of spin-offs. We've spun off certain skills into Norsam Technologies, which is using them to create new business in northern New Mexico. Our goal is to create ten spin-offs each year for five years.

In addition, we've partnered anew with our own employees. The old days of the university-modeled administration have given way to a completely redesigned management structure built to meet our new needs and mission. Our staff was intimately involved in shaping this new structure. Many of them took part in study groups to redefine our culture. Throughout the process we polled everybody several times to see if our perceptions were squaring with theirs. When they weren't, we in management went to work to narrow the gap.

And of course we're partnering with other government agencies, universities, and business on research in such non-defense areas as groundwater, pollution, global climate change, ozone layer depletion, and genetic research. We're using our supercomputers to map human DNA, and we're helping fight AIDS.

But I save the biggest consortium for last, and this is one where you research librarians could find common cause. This year 350 labs, universities, and private companies formed the Coalition for Research and Development. This Coalition was spawned by our concern over the declining federal dollars for basic

science research and development—or "R&D" as we call it. While the economic power of this country was built on R&D begun 50 years ago, a number of factors are blurring that reality.

Our Coalition came together out of fear that Americans have been asked to pay for so much that, now, when a more complex threat is surfacing, audiences may turn away.

But the latest threat is upon us: the one I'll call the "war for the future." The war for the future will be won by those nations who appreciate the importance of basic scientific research and development and make the proper investments. I believe that the cause of R&D is something that touches each and every one of us, from the ease and speed with which we live and move, to how we learn, how much we earn, whether we have jobs at all—indeed, to whether we have medicines and treatments to stay alive.

To put it more directly: an influential group of economists called the "New Growth Theorists" estimate that 50% of American economic growth since the 1950s has been due to the nation's investment in scientific R&D.

Yet, if you read the budget numbers today, America is entering the twilight of its federal R&D spending. Federal money for basic R&D, like Washington money for just about everything, is expected to decline in the coming years, as much as 25% in the next five years. Certain projects will be impacted in a fatal way, while others may be able, over time, to find at least partial support elsewhere.

But there are a whole new generation of other countries, of leaders and researchers who covet our leadership role, and who've declared that they will do whatever necessary to beat us out. Many of them have studied here; some have taught and worked and even administered our universities and research facilities. I speak in particular of the Asian tigers: Japan, Taiwan, South Korea, Singapore, and Thailand. Others may soon follow: China, Malaysia, India, and Indonesia.

Japan recently announced that it would begin increasing its government R&D spending by 7-10% a year, to $150 billion. This is in a country that already spends 2.8% of its GNP on civilian R&D. And it doesn't include Japanese private industry's figures.

The United States is now spending about 2.5% of its GNP for both defense and civilian R&D, divided between federal funds at about $72 billion, and another $100 billion from the private sector. The federal spending cuts will bring the total down to about 2.2% of GNP, but, as always, a large share of the U.S. federal spending will still go towards defense-related programs. Japan's huge R&D expenditures are almost totally devoted to civilian research, as in the other Asian tiger economies.

Enough about the "war for the future." But before I conclude, I should tell you about a very new partnership tool at our own research library that should sound familiar to you. We call it our "library without walls." We've given it top priority, to help us ride the earthquake of change.

Just as the Berlin Wall was torn down by change, the old concept of the library full of books in an expensive building has also gone with the wind. Up at Los Alamos, as at your libraries, the term "research library" really means providing information access—whether to the local collection or to a database in Moscow.

Our library without walls provides 24-hour access to our digital library resources from anywhere our customers can connect to the network. Our long-term goal is the "Creation of a network of knowledge systems which facilitate collaboration between people." What better tool for cooperation in an competitive environment, of for consortial leadership?

One key element of our library without walls is "SciSearch"—access to the literature produced by the Institute for Scientific Information. The SciSearch database of over 13 million citations is available from 1977 through to the present. We also have a weekly alerting service to track favorite journals or subjects.

Another library innovation is our new offering of over 10,000 unclassified Los Alamos technical reports, going back to the year 1943. This can be accessed from our research library's online catalogue and from our unclassified publications database. The database is updated twice a month, and now holds nearly 55,000 references.

Finally, our library without walls is working with publishers, like Academic Press, The Institute of Physics, The American Physical Society, The American Mathematical Society, and elsewhere to provide full-text, full-image electronic journals. We now have several hundred available.

Needless to say, our tremendous progress in library science, technology, and administration is not automatic. Rather, it is the result of people, and one person in particular: Rich Luce, Los Alamos National Laboratories Librarian. Rich is a model manager in our institution—an individual who excels as a result of his mastery of continuous quality improvement tools and methods.

I'm sure that the virtual revolution and information technology are having just as much impact on what you do as the end of the cold war and budget cuts are having on us. But the lesson for both our professions is that strength will come from collaboration.

I opened with the image of the lone ranger. I told you how my team of lone rangers up at Los Alamos have turned in their six-guns and joined a support group, so to speak. The size of our mission, and the size of our organization, dictated we do it. You've probably come to the same conclusions, because the lone ranger approach is very high-risk. When you win, all the rewards flow to you alone. But when you lose, you lose everything. Just look at Humphrey Bogart in "Treasure of the Sierra Madre."

The visionaries and the lone rangers will still find their place in this newly-wired world. Our more conventional organizations must struggle to give them a home when we can, because we need creativity and innovation as much as anybody. For, while we partner and collaborate, we will also find ourselves competing harder—even against ourselves. In the newly competitive world of R&D, Los Alamos, Livermore, and Sandia compete against one another now. It's healthy; it stimulates innovation and saves money.

In closing, I'd like to quote from the Bible. Ecclesiastes says, "To every thing there is a season, and a time to every purpose under heaven... a time to break down, and a time to build up." But in our era, the breaking down and the building up are coming simultaneously, and at light speed. Earthquakes are shaking the ground we walk on.

A few verses later, Ecclesiastes warns, "Woe to him that is alone when he falleth." I think the message from Ecclesiastes is clear. Now is a time to join hands and walk together. Walking together, we each have a better chance of making it through the revolution—the earthquake of change—that now looks like it will outlive all of us.

Thank you.

THE ART MUSEUM NETWORK AS A TOOL FOR COOPERATIVE PROGRAMMING

Maxwell L. Anderson, Director
Art Gallery of Ontario

Good afternoon. I am delighted to be here. I am grateful for the opportunity to share with you some of the things that your colleagues in the Association of Art Museum Directors (AAMD) are doing. We are, in effect, a sister organization, comprised of 170 directors of the largest art museums in North America. It's striking to me that we haven't had more communication, because we do share a great deal, which I will mention in some detail today. But I also am grateful for the opportunity to talk to you about how we're handling intellectual property as a challenge, since we own priceless works that we don't like to see go into other people's hands. In that sense, we're a very different entity from you. Your entire purpose of existence is to make sure that your items get into other people's hands.

To start with, we do have some challenges in making common locutions, but I'm sure we can get somewhere. For almost 80 years as an association, the museum directors have thought collectively about a variety of issues that involve advocacy and policy. But the convergence of the personal computer, television, and all of the other electronic technology during what has basically been the last couple of years has invited a new way of thinking about collaboration, about the ways in which we might work together. The ways that content is created by museums is sometimes mysterious to people in the library field. Certainly, in general, I have found resistance to the notion that museums are other than repositories for things. The fact is, we create content. We preserve it, as you do. We display it, as you do, but we create programming around it day in and day out, which is really the core mission we have around the care and preservation of those works. Until now, the ways in which we have done this through exhibitions, publications, and educational programs have been negotiated from one museum to another, not something discussed in an Association-wide context. The AAMD, as is true for ARL, has been a common ground for shaping professional skills, learning from each other, providing leadership and policy development, commiserating about boards of trustees and the opposition of the extreme right, linking through shared challenges, sharing opportunities and ways out of these abysses, but, in a sense, we had never thought before about how, across the platform of this association, we might do something *together*.

In 1996, the Art Museum Network was floated by the membership as a notion that would take our very fledging website and turn it into an Internet broadcast network, committed to the promulgation of our individual mission as museums, but also to the mission of the Association at large. Collectively, we have tracked about 46 million people through our doors, but we've only just begun to think about how network technology can serve the aims of our audiences, attract more visitors, and enhance our educational offerings, while, we hope, increasing earned revenue.

We have begun this journey through electronic literacy in halting ways. You can well imagine what it's like to lock your colleagues in a room and talk about the technology of the Internet in ways we hope will elicit more than either a stunned reaction or something tantamount to complete lack of comprehension, given that what we generally do is turn these matters over to deputy directors, system managers, and other people who really understand it. The registrars of our museums, the record keepers particularly dear in our hearts, controlled the technology in our institutions, and they set up the initial databases to track collection information, although it wasn't digital or image-based then, of course. The registrar was the individual who ultimately had the authority to decide upon what systems we would buy, the way they would be deployed, and who would and wouldn't get to use them.

With the advent of Mosaic and the World Wide Web, the ways in which museum directors began to see that some of this information might, in fact, be accessible to them personally, at their command, was

illuminating, but not particularly comprehensible. So when we constructed the first website we said that perhaps there would be a way we could develop websites together—if you don't want to do it yourselves, the Art Museum Network (<http://www.amn.org>) will be able to do that for you. At present, for the 200 or so potential members—we have 169 members—the Art Museum Network, which is based at the Art Gallery of Ontario, authors about 30 websites for the 169 museums and hosts the remainder in a kind of free-flowing consortial way. Institutions like the Metropolitan Museum of Art obviously have their own website, but it is hosted by a commercial ISP, so they rely on an outside entity. We are trying to move in a direction in which the Art Museum Network will provide the server capacity for us to mount all these websites.

Today I will focus on four things that the Art Museum Network is doing, of which the digital library, AMICO, is one. The other three paths are emblematic with the scope of ambition of what an association like yours is attempting in a cross-disciplinary platform. The first is a distance learning channel, which is actually the world's largest extranet. It is being built this summer in Toronto at the cost of about $25 million, and it will link 100 public schools in the second largest school district of the greater Toronto area. We will work as the hub, taking the digital content of our collection and giving it to the kids, teachers, and school boards in order to find ways in which curriculum development can be improved. For instance, teacher packets can be advanced remotely so preparing for visits to the gallery can be richer and the return to the schoolroom after the visit to the gallery can be richer, as well.

This will be an experiment for us on how to introduce distance learning across the continent, bridging all the school board experiments that are obviously moving in this direction, as well. We intend to provide tools for receiving and transmitting networked digital content, but it's obvious also that ways in which we work should, in some way, be connected to other museums. For that reason, we are also very much involved in negotiating protocol and standards.

The second initiative is the creation and maintenance of a global exhibition calendar of the 50 largest art museums in the world, a rather unusual initiative (see <http://www.excalendar.net>). The Association of Art Museum Directors, as I mentioned, is a North American organization. There is another shadow organization that meets in different European capitols by invitation only and consists of the 50 largest art museums in the world. Their directors come and trade shows, basically, behind the scenes. At the last meeting, held in Rome last March, we proposed, somewhat ambitiously, to present them with the opportunity to have a single mounted exhibition calendar that would allow anyone on the Web to search through their exhibitions with a single search entry. Because we had already assembled the raw data with the help of the Getty Museum, we could also demonstrate it for them.

The result was interesting. It was helpful to see that there was quite a lot of duplication in the two or three years hence of exhibition planning, which led to some additional behind-the-scenes conversation because one of our big problems, like yours, is the need for institutional loans. For us, it's a little more grave because we generally only have one of anything.

It's an exciting opportunity to think collectively about our intellectual properties and to, in a sense, create a kind of tourism by making alliances with travel agencies and tour operators to the point where, through e-cash, one will be able to reserve tickets to exhibitions, book hotel rooms, buy catalogs—whatever is his or her heart's desire.

The third exhibition initiative merges actual merchandise with merchandise online: a digital store for all 170 museums. A search entry will allow someone to retrieve prices or to shop along a gift theme, display the kinds of objects that people seem to enjoy purchasing from our many shops, point the consumer in the direction of the museum that is actually offering the merchandise, and bring it all together with the software necessary to make the purchase and have it shipped. So not only are we looking at ways to collaborate through the expanding universe of the Web, but we are also trying to find ways to avoid unnecessary competition. Having a small number of leaders from the institutions involved is very useful; 50 people can get a lot done when they get together. For example, at that meeting in Rome, in addition to

showing the exhibition calendar, we resolved to forego charging one another for photographs for exhibition catalogs. That resolution could not have been made without us meeting together, allowing us to get a sense of our common objectives and to have enthusiasm over our combined mission.

The digital library, I suppose, is the most complicated initiative because it involves a great deal of thinking about the intellectual property that is at our disposal, and how just the merchandise in our stores or even the calendars in our programs don't allow for the creation of programming that will be around the digital library. Once again, we believe it is not just good enough to own the material. It's not just good enough to ship it around the world. It's not good enough just to document it. We have to do something with it, and even though that's what always gets us into trouble financially, we nonetheless pursue that goal.

While universities are chasing the same pool of students and the same pool of volumes for their libraries, museums are odd in this respect. We actually don't all chase the same objects frequently, and we are unlikely to pursue the same visitors. So we have a different dynamic from your universe, one that, I think, can lend itself to greater collaboration programs. We are independent fiefdoms, and it gets rather complicated when a form of territoriality develops around our collections and, most interestingly, around information about our collections, because, in an ideal universe, that's where directors would want to share the most.

The collective online agreement that we are working with for the Art Museum Network site is a subscription-enabled discussion among about 40 museums, and we have now approximately six dozen staff busily trading e-mail night and day to go over three agreements. The first agreement, a university site license, will enable universities to subscribe on an annual or biannual basis to the collective body of images assembled from the permanent museum collections and therefore to also subscribe to the evolving body of programming around it: distance learning, lifelong learning, and the variety of educational tools that we develop. We believe this will move us forward to subsequent site licenses, one for libraries, of course, and ultimately for K to 12, which we are working on with the extranet. We also hope that eventually something called a "home market" may emerge.

We are working on the following timetable: in March, we met in Los Angeles, and in ten days we meet again, in Minneapolis, with the directors meeting the two days prior to that. After the meeting in Minneapolis, we hope to come forward in summer with agreements that can be signed by the directors. We can then move ahead with site licensing agreements, which we have very much attempted to negotiate in tandem with the university environment, working with CNI, RLG, the College Art Association, and a variety of other university associations. We expect to offer the first batch of digital library images in September of 1998. This will evolve, over time, as each of the museums are responsible, according to the shared protocols we are drafting and the shared standards of information the Getty Information Institute is helping us develop, for mounting the data in a way that will be completely seamless and that will allow for the refilling of gaps and for the display's evolution. Further, we for hope for real collaboration in the programming, so the digital display doesn't end up being each museum simply singing the praises of its own collection. The aim is, as I said, to provide a reference product beyond simply the images, to instead provide a variety of ways in which activities can be undertaken that are specific to various user groups, to educational purposes at different levels, and to scholars.

The ways in which a business case and financial projections are being built around this is predictable. The museums' chief financial officers are being dragged into this in fear and terror of the notion that digital commerce might actually come sooner than they had expected. The particularly thorny problems are around contemporary art—an example is the French museums and the video museum, which astonishingly negotiated with the Artists' Rights Society for the ability to put contemporary art on the Web in France. David Green, Executive Director for the National Initiative for Networked Cultural Heritage (NINCH), who actually brought me into this conference, has, among others, helped us think from a variety of perspectives about how our efforts should not be isolated to North America, but should be linked to comparable efforts abroad.

In a nutshell, our museums' shared mission of promoting educational tools for our collections did, after all, develop haphazardly—although we're not quick to admit it. The fact that one museum has a collection is not, in and of itself, sufficient to tell the history of art. This is obviously a motivating factor behind the construction of an art community and consortium, as is lifting the burden from individual professionals in our museums, such as registrars, who are trying to create a methodology whereby rights clearance, indemnifications, standard protocols, and other issues can be negotiated formally. Finally, by working together we can overcome our native fear of the industrialization of our artworks and can become a fully functioning enterprise that will provide educational opportunity throughout the world, particularly through institutions.

In closing, I would say that the Art Museum Network is more than an effort to bridge visual images of our collections. It is an effort to think about ways in which art museums, particularly those of a certain scale, need not be isolated enterprises that only bump into each other when they discover that the same exhibition topics are on their calendars. To that end, it's an exciting universe to explore because of our common interests and goals and, again, the fact that we're not in direct competition in the same ways that other not-for-profit entities might be. We feel like we have a good shot at making all of this work.

The resistance to technology, which I began with, was originally fed by fears of obsolescence, then of cost, and then of territoriality. I think that resistance is being traded in for excitement about the potential of speaking with one voice. In that regards, we have a lot to learn from you as a professional group, which we hope to do in the coming months and years. I thank you for having me here today.

PROGRAM SESSION I
EXPERIENCES FROM OTHER SECTORS

QUESTION AND DISCUSSION SESSION

MS. ALEXANDER (University of Missouri-Columbia): My question is for Dr. Anderson, about legal counsel's role in preparing these documents for the site license. Do the art museums have full-time legal counsel on board or do they work by retainer, and how do they operate in this process, especially with the staff of various institutions now working online? Do they review with counsel before going online? I am curious about the legal aspect.

MR. ANDERSON: We do not all have legal counsel. The major museums, such as the Metropolitan Museum of Art, Getty, and the Museum of Modern Art, do. Mary Levering, from the U.S. Copyright Office, is a very active participant in this process, and there is quite a free flow of information to and from these counsels, not only with the Copyright Office, but with other entities that are interested in the issue of intellectual property, ranging from artists' rights societies to those individuals who have intellectual property, like we have, and are interested in creating a digital library.

All of the legal information is available at the Art Museum Network site, <http://www.amn.org>, where you can parachute into pages of discussion and excitement around the niceties of the dialogue that has been taking place.

MR. GHERMAN (Vanderbilt University): I read an article recently in which the author writes that we are entering a new area of "swarm leadership," where leaders come together for a brief period of time, share ideas, separate again, then swarm again to form a different group working on a different project. In essence, leadership is no longer anchored at a cooperative organization and is no longer defined by who has their own organization, but is characterized by temporal, quickly moving swarms of leadership. I wonder if we should be exploring this concept, and see if the art museums and libraries might work together.

MR. MERKX: I like the concept. I think something like that certainly happens, that people swarm together and ideas come out, but after that, there has to be some work. There have to be worker bees to collect the pollen and make the honey and so forth.

There is a difference between the presentations in this panel: Tom Garcia was talking about cooperation inside an organization, developing a strategy, and finding change possibilities, whereas the other two presentations discussed trying to do that within a community of organizations. The private sector is handicapped by the fact that businesses that try to get together, broker deals, cut prices, and so forth are actually in violation of law. So the market factor is an interesting component, preventing certain types of cooperation in private sector organizations, a problem we don't face.

MS. BAKER (Washington University, St. Louis): I found all three presentations interesting and provocative. At my university, our slide library is owned by the Art History Department and used by the School of Art and the School of Architecture, an arrangement that is a source of conflict among these groups. The artists and faculty are each annoyed at having to share with the other, in their opinion, less deserving people.

As part of our cooperative efforts in the arts, we have been looking at the possibility of creating digital images that would be available and easier to share—not hidden away in people's desks, as happens with slides. Struggling with the issues, I stumbled across the AMICO web page and was thrilled to see that we might have what I think is similar to a JSTOR opportunity—the opportunity to purchase, in digital form, things we already own but cannot, do not want to, or do not have the money to convert, so we

have this other option. I was especially encouraged, when looking at the groups with which you are working, to see NINCH and CNI as partners. This is likely to be a good product, with such good people working there. Thank you.

MR. ANDERSON: Thank you very much. I would add that one of the interesting features for museums when they look at slide libraries in universities is the rather poor quality of the images, due to the fact that they are often "pirated" from books, where they have been printed from transparencies, which are in turn images from original objects. We hope to provide a much higher resolution and quality image than these fledgling kind of images. They will also be provided in a way that will allow for linking, a kind of cross-disciplinary approach, which I believe will change what role slide libraries will have in the future, as opposed to only being places where people can look at images.

But I appreciate your sentiments, and we're very excited about building some projects collaboratively with the not-for-profit university and seeing it, first and foremost, as an effort to marshal the talent of our staffs and, clearly, the potential users on the university campuses.

MS. MOORE (University of Toronto): Please join me in thanking our speakers for taking time to provide some exciting insights about their experience with and possibilities for the future of consortial arrangements.

LUNCHEON SESSION
GOVERNMENT RELATIONS UPDATE

INTRODUCTION

Nancy Cline, Librarian of Harvard College
Harvard University

Good afternoon. My name is Nancy Cline, and I am Chair of the Information Policies Committee. It is our pleasure to host this event.

The focus of today's session is international copyright and intellectual property proposals, which have taken up a good bit of time in our recent deliberations within the Association. We will also hear a report on the recently passed Canadian copyright legislation.

We are fortunate today to have three welcomed speakers. With us is Doug Bennett, Vice President of the American Council of Learned Societies, and Jim Neal, from Johns Hopkins University, who many of you know as having convened this session on numerous occasions. They will both be reviewing some of their experiences from this past December when they were members of the U.S. delegation to the World Intellectual Property Organization (WIPO) Diplomatic Conference. Mr. Bennett, I might add, is about to become President of Earlham College, effective July 1, 1997.

First of all, let me mention the WIPO negotiations. These are landmark sessions for library and education communities, as well as for commercial and not-for-profit sectors. As you may know, the convention brought people together from all over the globe in an effort to update the international copyright treaties in order to make them more relevant to our digital age. Prue Adler has prepared a very nice summary of those WIPO activities; a status report is available for you.

Then, as promised, we will cover Canadian copyright law. Graham Hill, from McMaster University Library, has agreed to bring us up to date on Phase 2 of the Canadian copyright revisions. These revisions have taken a long time to crystallize and we look forward to an explanation of them, as well as to an update on the CANCOPY license situation.

I ask that we hold the questions until the end, for, even though it may seem logical to think about WIPO and Canadian copyright separately, once you have heard all three presentations I am sure that you will realize just how much these topics are interrelated.

With that, let me yield to our first speaker, Doug Bennett.

LESSONS FROM THE WIPO NEGOTIATIONS OF DECEMBER 1996

Douglas Bennett, Vice President
American Council of Learned Societies

Good afternoon. I will be discussing some of my experience with and reflections on the World Intellectual Property Organization (WIPO) negotiations in Geneva. I arrived on a Sunday afternoon—about a week into the WIPO process—and the first thing I did was look for Jim Neal, who, as you know, is ARL's Chair of the Working Group on Copyright Issues, and Adam Eisgrau, legislative counsel for the American Library Association (ALA). They were in the Alps. It was, I think, the only time they escaped.

I will tell you that Jim and I worked hard—in bursts. Adam worked indefatigably. When I finally tracked him down, I asked him how things were going. He replied, "Two months ago, I would have told you that we stood a serious chance of getting our behinds kicked beyond Jupiter"—but he didn't say "behind"—"now it looks like we stand a serious chance of staying within the gravitational pull of the earth."

In the end, I think we did very well. There were three treaties discussed in Geneva. The first was a treaty that would update Berne into the digital age by addressing special issues about audiovisual materials, especially films, sound recordings, and databases. We largely succeeded in deleting the negative aspects out of this first treaty, and saw to it that we received the strongest protection for fair use in an international arena ever. Other provisions were also included that were firsts for international agreements, and which may prove very useful for us in the future.

The second treaty, now known as the "Phonograms Treaty," is relatively unimportant. It does address some special issues, but I won't speak about those today. The third treaty, the database treaty, was never actually discussed.

This is all good news. I want to talk about how this happened and why things went so well and what we learned. By "we," I mean the not-for-profit world. The standard division of copyright matters tends to be between those who hold the copyrights and those who use copyrighted material. That division is largely represented by publishers and their agents on one side and librarians and their agents on the other.

As the copyright struggles of the past couple of years have continued, I have been increasingly impressed at the common interests of those in the not-for-profit world, especially in the education, library, and research communities. These communities embrace both users and copyright holders, a grouping of interest that is of more consequence than the division between copyright holders and users.

In the architecture of copyright law, we might say there are two ways of proceeding, or "regimes." The first is comprised of the normal set of rules governing the use of copyright, a set of rights largely favorable to copyright holders but with a series of exemptions, the most important of which is the fair use provision of Section 107, which, as any librarian knows, has special provisions for libraries and educational institutions.

Just for the sake of clarity, I want to call the exceptions the "second regime." That second regime in copyright is exceedingly important for us, and it is the source of many of the copyright struggles today as the persistence of these exceptions is questioned. Will we go back to having a single set of rules for copyright that pull together the world of libraries and educational institutions and that of entertainment? Or will they each have separate guidelines? Will there be a regime that works for the special needs of the educational library?

There are two issues at stake in that second area: 1) the use of copyrighted material without permission for educational or research purposes, and 2) the sharing of this material. These two issues are at the bottom of what the second regime is all about, and without such specific provisions in copyright law such limited use without permission and sharing would be very difficult.

With that introduction, let me tell you a little bit about what we learned at WIPO.

First, WIPO is a recurring issue. When it initially came up, it took many of us by surprise. The not-for-profit world had just been through a reasonably successful but pretty stumble-footed struggle in Congress, and just when we thought we could declare victory it looked like the same agenda was about to be discussed in Geneva. We would to have to fight the same battle all over again, but in a setting entirely unknown to us and for which we had no preparation and very little standing.

We can't let that happen again. We have to understand that WIPO will keep happening, and we must be prepared to contest it just as we had to contest copyright in Washington. That's the first lesson.

The second thing we learned was the importance of the American Library Association (ALA) and ARL. They provided resources and standing. ALA was especially important because for a while we weren't sure we had a way of being represented at WIPO, but ALA was able to produce credentials that got us a normal placement. This is turn opened the door for the ALA to unleash Adam for an extended period of time into Europe, which eventually led him to Geneva. But I must also tell this group something that I am sure you already know: in Prue Adler you have a terrific resource for legislative and public policy battles of all sorts. I thank them both. There were many others involved as well, but Adam's presence in Geneva and Prue's in Washington maintained the transatlantic coordination that kept everybody on the same page. Thanks in part to these two, the library community was prepared to deal with WIPO.

The third lesson of WIPO was understanding the importance of the citizens who engaged in this fight and the support they brought with them. Jim and I certainly fall into that category: we care a lot about copyright, but it isn't our full-time job. It isn't in our area of expertise. Even Adam, who is certainly more than a "citizen soldier," is simply a well-trained lobbyist with a passion for our cause. The commercial rights holders, on the other hand, brought people to Geneva whose full-time job was copyright advocacy. It just was not possible to walk around the convention center where WIPO was being negotiated and not be aware that we were at a serious disadvantage in terms of the resources that were being brought to bear.

Fourth, we need to work the mismatch between Berne and U.S. traditions. The Berne agreement is neither completely for nor completely against our interests. Many of you know the architecture of Berne; it is very different from that of U.S. copyright law. I won't spend time trying to explain that today, but it is important to know that this difference can be used either to further our interests or to frustrate them, and it is important to regularly reflect on how we can use that which is in our best interest and how we can avoid that which harms us.

Fifth, U.S. positions and those of the European community are likely to be dominated by the interests of commercial rights holders. We are unlikely to get the U.S. government to completely back us in Internet copyright circles, but there are many other countries in the world who also come to WIPO. For example, we were seated next to the ex-Yugoslav republic of Macedonia. As it turned out, the Macedonian representative was entirely sympathetic with our concerns. At the end of the day, it comes down to simple nose count in Geneva in WIPO. The U.S. and the European community can strong-arm a lot of countries in the world to go along with them, but these countries are not going to let themselves be simply steamrollered. They will extract a pound of flesh, one which may consist of user interests. So it really is worth paying attention to smaller, developing countries.

We must also find allies in other disciplines in the private sectors of other countries. This relates to the point I just made. For instance, we haven't talked to the science community. The database treaty, by

itself, mobilized the science community and got them involved. Hopefully, it will keep them involved. We need to make sure we stay in touch with the sciences, just as we need to stay in touch with our friends in the private sector. Adam and Prue have found that we have many friends in the industrial and commercial worlds who share our interests, and we need to work together with them, as well.

I am a political scientist, as some of you know. As E. E. Schattschneider wrote in *Semi Sovereign People: A Realist's View of Democracy in America*, a great book on American politics from the 1940s, "The most important thing is when to widen and when to narrow the scope of conflict." He meant that sometimes you want millions of people involved in a conflict; sometimes you only want dozens. In copyright matters, we generally want to widen the scope of conflict. There are many more users than there are rightsholders, and we need to get our message out to them. To do so, we need to manage the conflict in values. Those who oppose us will talk endlessly of piracy; we need to talk of balancing the rights of copyright holders and users.

We also need to have a wide scope of contact. No foreign policy in the United States will be carried out by any one governmental agency. One of the reasons we did as well as we did in Geneva was simply because Prue, Adam, and others helped coordinate a very broad coalition within all parts of the U.S. government that cared about copyright. We need to keep that scope of contact very wide.

In the last analysis, we did well because we found allies. We widened the scope and found many points of conflict. We also did well because we weren't the main issue in contention. The main issue was the AV treaty and the interests of the motion picture industry. At the end of the day, the U.S. delegation was prepared to be conciliatory so we wouldn't make trouble. On another day, we might not be so lucky. We might very well be at the center of things.

Much of the discussion at WIPO will be back. Databases will be online, black boxes will be back, RAM and cache copying will be back. We need to be ready again.

So, even though we stopped the preemptive strike twice, once in the Congress and once in WIPO, it's not over. As Yogi Berra said, "It ain't over till it's over."

Thank you.

THE CONTEXT AND POLITICS OF WIPO NEGOTIATIONS

James G. Neal, Director
Johns Hopkins University Library

It was with some trepidation that I approached the WIPO sessions in Geneva. I will try to provide a historical context for international copyright and a sense of the political pressures behind what WIPO tried to do last December.

International protection for artistic and literary works extends back to the late 19th century. The treaty with the longest history, the greatest number of adherents, and the highest level of protection is the Berne Convention. It was established in 1886 under the auspices of the French writer Victor Hugo, and has 130 member states. It imposes a series of requirements on the participating countries: each must enact national laws that offer foreign and national authors consistent protection.

This 19th century milieu is important because in the United States at that time there was rampant piracy, particularly of West European music, literature, and science. Throughout the 19th century the United States had a strong tradition of misappropriating intellectual property, an important context to understand.

One may question whether it is possible to have international law extend to intellectual property, but I think that we have a growing consensus of common principles shared by a majority of the countries in the world, which produces the equivalent of international copyright protection, achieved through treaties such as that which WIPO provided.

There are three principles that are really unique to this international arena—terms that don't enter into the U.S. copyrighting experience. The first is national treatment, wherein one country promises to protect the works of foreign authors in the same manner in which it protects the works of its own authors. This is a central tenet of an international copyright agreement.

The second principle is territoriality: this allows one country's copyright law to apply only within that country's borders. Territoriality is partly to blame for the diversity of national copyright laws and the conflict that sometimes develops across borders.

The third principle, which I have only in the last year been able to articulate, much less understand, is the principle that is bundled up in the Berne Convention: moral rights. In the U.S., Great Britain, and most other common law countries, copyright law reads more like an economic charter, offering the author economic incentives to creativity, to encourage investments. But under the conventional European approach—an approach that has been adopted in Latin America, Africa, and Japan—the author's work is considered a personal extension of that individual. The author's right to her own work is considered one of the basic rights of man, an idea born from the French Revolution. The Berne Convention sought to protect the intimate connection between the author and her work through the principle of moral rights. Moral rights include the right of paternity, which allows the author to decide how, when, and where to first publish their work, as well as the right to be credited as author. Also included in moral rights is the right of integrity, which gives the author the legal right to prohibit the work's reuse, destruction, or any alteration that would reflect adversely on the author's honor or reputation. I had never heard of these concepts before I moved into the international copyright arena. As you can imagine, it was quite instructive for Doug and me to listen to representatives from 26 countries about their concepts of fair use. It has become a concept that has spread out across the world in a very powerful way, one which I believe will eventually revolutionize the way we look at international copyright agreements.

Let me give you a bit of copyright history. By the early 1950s there was a growing recognition that international copyright protection had to be strengthened. It is important to note that China, the Soviet Union, and the United States were not part of the Berne Convention. The Universal Copyright Convention met in 1952, drawing many of the world's countries together to create a new framework for the resolution of disputes and to bring themselves out of isolation. Then, in 1961, the Rome Convention extended the protection of copyright to musicians, to producers of sound recordings, and to the radio and television broadcasting industry.

It was in the 1980s that increasing pressure for greater copyright regulation began to be applied. Rampant piracy was again rearing its head. Videos, sound recordings, and software became really vulnerable to abuse on a worldwide basis. Digital technology entered the scene, and its advent was forcing a rethinking of the copyright protections. Global markets were critical. One of the weaknesses of the Berne Convention was that it lacked an effective settlement procedure. Even though there was an understanding that things needed to be worked out, they had made no provision whereby individuals in two separate countries could come together to resolve those differences through international agreement or discussion.

Finally, in 1994, a very important set of agreements was reached. Called the General Agreement on Tariffs and Trade, the GATT agreement, it also contained a Trade-related Intellectual Property agreement, TRIPS. So when you hear about the GATT-TRIPS agreement, know that it led to WIPO.

GATT-TRIPS extended copyright protection to computer programs and databases. It also extended and recognized the exclusive right of copyright holders. It articulated an international standard for copyright use and called for enforcement requirements in domestic legislation. Countries may not ratify GATT without taking action to curb copyright abuse at home. It was in this context that WIPO was convened last year.

The debate's three-week progression demonstrated the extraordinary complexity of the legal and technical issues discussed in Geneva. We had politicians there as well as advocates from all types of industries, but we did not have a lot of copyright experts sitting on the national delegations. So understanding had to be achieved before agreements could be reached.

There was also a significant financial interest at risk. That's why, as Doug indicated, the major world leaders in terms of entertainment and publishing were there, protecting the perhaps trillions of dollars that were at stake in the decisions being made at WIPO. In terms of technology and network experience, the Latin American, African, and South Asian delegates came to the table with a very different set of perspectives and expectations than that of many of the other countries involved. Ultimately, the intellectual property perspective of the United States and western Europe took over, but it is important to recognize that the developing countries demonstrated and asserted power at WIPO. For example, their total opposition to the database treaty was one of the reasons why the treaty didn't come to the table. They also pushed repeatedly for the discussion and treatment of folklore as a concept and as an intellectual property, something which has been followed up on, and about which there continues to be great international animosity.

It was an extraordinary process to observe, as well. Although I was not there for the first five days of the conference, I hear that these days consisted of protracted and frustrating debates on structures, committees, and who would sit where.

What did we learn? One, that we really need to maximize the coalitions and partnerships that we have developed. As Doug suggested, the issues that we were particularly involved in were not the central issues on the table, and we were able to neutralize the problems and advance our interests because we had important players there with whom we had partnered domestically in terms of liability and copyright information control issues. Having that partnership in place and all of the nongovernmental organizations working on our behalf helped us tremendously. The issues we were concerned with were only part of what

they had at stake, but because they had partnered with us they felt a sense of obligation to continue to represent and advance our interests. That was key to the success we had at WIPO, and I think it will continue to spell success domestically.

We also need to realize that the information needs of our users, whose interests we represent in these debates, are seriously in conflict with the interests of those fighting electronic piracy and enabling Internet commerce. Those interests are what, in my view, WIPO was all about. We don't fit easily into that debate, but an important point was added to the preamble of the treaty, accepting and recognizing the concept of fair use as an American initiative. This is an extremely powerful recognition of the role that the not-for-profit educational library community plays.

As we move forward, we need to keep our primary objective in mind. When I lecture on copyright, I always try to remember the true goal of the educational community in the intellectual property arena: we must develop policies for intellectual property management that enable broad and easy distribution and reuse of materials by scholars and students and that foster a competitive and supportive market for scholarly communication and creative work. We tried to keep this issue in the WIPO debates.

In conclusion, I will quote from a report that I gave to the ALA: "The treaties, particularly considering their provisions for action at the national level on many issues, will require extended domestic debate before approval and implementing legislation can proceed."

Prue has briefed us on the difficult and troubling nature of the implementing legislation now being circulated. It requires our careful attention. The war continues, and WIPO was just one battle, albeit an important one, on copyright in the cyberspace frontier.

Thank you.

CANADIAN COPYRIGHT LAW REFORM AND THE CANCOPY LICENSE RENEWAL

Graham R. Hill, University Librarian
McMaster University

Nancy indicated in her opening that we in Canada have been struggling with copyright reform for some years now. Let me briefly outline our progress of the past nine years. You may recall that Phase I became law back in June 1988. I call this the "rightsholder law" because it provided no exceptions for fair use (see Figure 1). But the government promised us exceptions in Phase II.

Well, it took them about five years to draft Phase II. It was circulated in 1994/1995. We could have all taken a break then, because nothing happened.

Then, in April 1996, we had a first reading of Bill C-32. After its second reading, in the last quarter of 1996, the bill was referred to the Standing Committee on Canadian Heritage. You may recall that when that legislation was tabled the library and educational constituencies were essentially happy with it. We weren't ecstatic, but we were willing to accept it as a reasonable compromise. It had been negotiated over a five-year period, and we believed it provided adequate exceptions for library and educational uses of copyrighted material.

Last fall, approximately 150 organizations and individuals submitted briefs to the Heritage Committee. Of those, about 60 were invited to testify at the hearings. In December 1996, the committee completed a clause-by-clause analysis, and recommended over 70 amendments to the bill. I'll come back to those shortly.

At the beginning of 1997, library and educational organizations expressed concerns over some of these amendments that had seemingly been introduced in a hasty manner. In late January, we decided to withdraw support for the bill. Our withdrawal didn't have much of an impact, but it was nevertheless a good gesture.

In March, the bill passed a third reading, called the report stage. The bill was tabled in the Senate, which is the upper house in Canada, and, after a reading, it was then referred to the Senate Committee on Transportation and Communication. Now, the committee title might make it sound like it has jurisdiction over intellectual property matters, but, in fact, the members of the committee had no knowledge of intellectual property. They were presented with extremely complex legislation that had some equally complicated briefs and testimonial depositions and, unfortunately, they didn't understand a word of it. So they dispensed with clause-by-clause analysis and simply gave the bill a third reading.

In the space of about ten days, having given it perfunctory consideration, Parliament passed Bill C-32. It was made law April 26, one year to the day from when it was introduced. The following morning Parliament was dissolved, and an election was called in Canada for the 2nd of June. That final compression was purely politically motivated, and had nothing to do with copyright or even the proper government of the country.

Bill C-32

The one clear thing we gained in Bill C-32 is legal recognition that there are legislated exceptions for library and educational uses of copyrighted works. These exceptions are written into law. They are not written exactly the way we would have liked, but they are in there.

What types of amendments did the Heritage Committee introduce to cause the educational community to turn against them? (See Figure 2.) The first were technical amendments to clarify the legislator's intent. But the one that really concerned us was the fourth on the list, which clarifies the scope of the exceptions for public institutions. This is typical political doublespeak. When the politicians say "clarification," they mean change; they mean to change the scope of the exceptions for public institutions. Nonetheless, there were some gains to go with what we regarded as the losses. What I tried to do with this chart is give a key with pictograms (see Figures 3 and 4). If there is a sad face, we're against it. If there is a picture of a computer disk next to the amendment, it has an implication for legislation we'll be moving in when we consider Phase III legislation, which deals with copyright in a digital environment.

That first amendment listed here is probably the most important, and, is most likely the change that led to the withdrawal of educational community support. So let's just look at that one.

The *Copyright Act* originally did not define "commercially available." The tabled version of the bill defined it to mean that hard copies must be reasonably available for sale in the Canadian market. That definition accommodated issues of time, price, and effort to locate. The committee amended that definition to include cases where a license to reproduce material or show it in public is available from a collective society. That was a critical change. The legislation clearly hinges on license agreements. The implication of that specificity on "commercially available" material is to narrow some of the educational, library, and disability sections originally in the bill. This is why the licensing regime that is becoming increasingly implemented in Canada must be considered in conjunction with our legislation. In other words, the amended legislation addresses commercial availability as economic property. The creators have not necessarily won on this issue. If any one sector has benefited, it is the publishers.

The second amendment I've listed we did support. We support this amendment because they broadened the definition of "perceptual disability." The third amendment facilitates fair dealing and enacts some technical changes in the wording of restrictions covering magazines and periodicals. In fact, the restriction on copying from a magazine was replaced by the restrictions governing periodicals, a broader category. There is a footnote to this provision requiring regulations to be framed; in other words, we will have to try to define exactly what is a "magazine" or "periodical."

We also support the fourth amendment. In the original bill, the use of interlibrary loan services (ILL) was permitted by libraries, archives, and museums. The amendment says that an ILL request cannot be provided to a patron in digital form—the language is very specific on this—but the library can receive it digitally and create a paper copy. So, that's a plus and a minus. It prevents us from delivering the final digital form to the user's desktop, but we can receive it digitally in the library, and it allows the current use of Ariel technology in law, which is a potentially useful thing for us as we move into Phase III legislation.

Of the next four amendments, there is only one with which we are pleased. That amendment is a response to a very cogent presentation from the national archivist, who added a provision stating that copying archived, unpublished works will be permitted unless specifically prohibited by the copyright holder. This is clearly a victory for both archivists and researchers.

Self-serve copiers and statutory damages could go either way; essentially, they are framed now to encourage collective licenses, but the fact is that, in Canada, all universities have a license. They have had them for two or three years. Because, in all probability, we will always have them in some form or another, there is a prohibition against recovering statutory damages from a licensed educational institution. This could have been harmful to libraries, because the legislation also included a provision for copyright owners to claim statutory damages in court. The rate was quite high—up to $20,000 per infringement, per work.

CANCOPY License

We did renew our CANCOPY license at the end of last year (Figure 5). You may recall that we previously had a two-year, two-part license, which included a blanket tariff of $2.50 per full-time student and a second tariff for coursepacks, at 3.5 cents per page per copy.

We now have a three-year license. It is still covered by a list of exclusions, but, with the passage of C-32, those exceptions should simply disappear. The exclusions list will no longer exist because anyone who claims copyright infringement can recover from a licensed university no more than they could have recovered if they had been a party to the license. So there is nothing to be gained by having an exclusion; it is superfluous.

We went through a very aggressive phase with CANCOPY towards the end of last year: we took them to the Copyright Board. We risked about $50,000 in legal fees to do that, but it turned out to be very interesting. CANCOPY had been absolutely adamant and refused to negotiate the terms of the license, including a proposed six cents per page rate in part "B" of the license. They said, "Well, the CCC charges this amount and England charges that amount and Australia charges that amount. Three and a half cents per page (which is about two cents per page U.S.) is below market value."

We called that bluff and took them to the Copyright Board. This gave us the opportunity, through a process called interrogatories, to require CANCOPY to produce court documentation, facts which we knew they either did not want to produce or could not produce, concerning their profit levels: where the royalties were going, who was receiving them, and so on.

Once we actually filed with the Copyright Board and had already spent a lot of money on counsel, CANCOPY decided not to go the the Copyright Board hearings. So we were eventually able to negotiate a slowly escalating three-year license. More importantly, we were able to negotiate a side agreement to the license that deals with price increases for the next three-year cycle. We agreed that the coursepack tariff should be capped as six cents per page for the next six years. Getting that capping agreement attached to the present license was one of the bigger advantages.

We have also agreed to set up joint task forces with the educational and library communities and CANCOPY. The first one will examine digital licensing and electronic reserves; the second task force will examine reporting methods; and the third one, which obviously gives CANCOPY endless trouble, will examine the distribution and the accounting of royalty fees they collect.

Thank you.

BILL C-32: A NINE-YEAR PICARESQUE CHRONICLE

1988 June	**Bill C-60 (Phase 1) becomes law**
1990 July	Government gives undertakings for "exceptions" to be legislated
1993 January	Draft Legislation circulated to members of "consultation committee"
1994 to 1995	Nothing...
1996 April 25	**First Reading of Bill C-32 (Phase 2)**
June	Second Reading: referred to Standing Committee on Canadian Heritage for hearings, September–December 1996
September	Approximately 150 organizations/individuals submit briefs; Committee hears testimony from about 60 groups
December	Clause-by-clause analysis completed: ***over 70 amendments to the Bill recommended by the Committee***
1997 January	National educational and library organizations (AUCC, CAUT, CLA, CARL, CSBA, CTF) express concerns over the amendments made in Committee in a joint letter, and withdraw support for the Bill
March 20	Bill passes Third Reading (Report stage)
April 8	Bill tabled in Senate, where on second reading it is referred to the Senate Committee on Transportation and Communication
April 14-18	Highly condensed hearings held by the Senate Committee
April 25	**Bill C-32 given royal assent**
April 26	Parliament dissolved, and election called for June 2nd

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Figure 1

TYPES OF AMENDMENT TO BILL C-32 INCORPORATED BY THE HOUSE OF COMMONS STANDING COMMITTEE ON CANADIAN HERITAGE, AND ADOPTED BY THE HOUSE OF COMMONS
(December, 1996–March, 1997)

(As articulated by the Minister of Canadian Heritage)

- Technical amendments to clarify the intent of the legislator
- Introduction of an "ephemeral recording exception" to permit broadcasters... to transfer sound recordings from one format to another
- Amendments to the transitional measures relating to the introduction of performers' and producers' rights
- **Clarification with respect to the scope of the exceptions for public institutions**
- New exceptions for persons with hearing loss
- Changes to the parallel importation provision relating to certain used textbooks
- Increased duration of protection for photographic works
- Increased access to unpublished works in archives

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Figure 2

BEST COPY AVAILABLE

Amendments Made to Bill C-32 by the Heritage Committee: Gains and Losses from an Library Perspective

	COPYRIGHT ACT	BILL C-32 AS TABLED	BILL C-32 AS AMENDED	IMPLICATIONS
❶	"commercially available" not defined	"commercially available" defined to mean that hard copies must be 'reasonably available' for sale in the Canadian market (time, price, and effort)	"commercially available" defined to include cases where a license to reproduce, perform in public, communicate by telecommunication is available from a 'collective society'	Narrows some educational, library and disability exceptions. Hinges "availability through license" to the exception. ☹
❷	"perceptual disability" not defined	"perceptual disability" defined in relation to visual impairment only	"perceptual disability" defined to include hearing impairment	Exception is broadened ☺
❸	❖	§30.2(1) through (3): *Facilitating fair dealing* "...published in a newspaper, review, magazine, or other periodical ..." with a restriction if newspaper or magazine was published within last 12 months."	§30.2(1) through (3): *Facilitating fair dealing* "...scholarly, scientific or technical periodical, or a newspaper or other type of periodical not published within last 12 months."	Restriction on copying from a "magazine" replaced by a broader category: "a periodical, other than a scholarly scientific or technical periodical." ☹
❹	❖	§30.2(5): *ILL* allows ILL by libraries, archives and museums	§30.2(5): *ILL* Copy cannot be provided to requester in digital form, but library can receive digitally, and create a paper copy	Allows the current use of Ariel technology. End-user receipt of article in digital form will have to be licensed. Subject to regulations ☹

GRH: 97/v/05

Figure 3

Amendments Made to Bill C-32 by the Heritage Committee: Gains and Losses from an Library Perspective (continued)

	COPYRIGHT ACT	BILL C-32 AS TABLED	BILL C-32 AS AMENDED	IMPLICATIONS
❺	❖	❖	New §30.21: *Copying of unpublished works deposited in an archive* Will be allowed unless © owner prohibits copying	A gain for archives, historical and other researchers ☺
❻	❖	§30.3: *Self-serve copiers* educational institutions exempt from infringement liability provided warning signs posted	§30.3: *Self-serve copiers* limits exemption to *licensed* institutions	A restriction to encourage collective licensing ☹
❼	❖	§38.1: *Statutory damages* new provision for statutory damages of $500 to $20,000 per infringement, per work, except against licensed educational institutions	§38.1: *Statutory damages* prohibits statutory damages against a licensed educational institution, library, archive or museum	Exemption tied to licensing, but a gain, nevertheless, for libraries, archives and museums ☺
❽	§45(3): *Importation of books* some exceptions to prohibition against parallel importation of books. importation allowed by "any public library or institution of learning"	Restricted the exception to "...not more than one copy of a book...and any used books..."	Now lawful to import "...any used books *except* textbooks of a scientific, technical or scholarly nature for use within an educational institution in a course of instruction."	Allows the current use of Ariel technology. End-user receipt of article in digital form will have to be licensed. Subject to regulations ☹

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Figure 4

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AAUC/CAN©OPY MODEL UNIVERSITY LICENSE

ITEM	ORIGINAL LICENSE	NEW LICENSE
TERM	25 months, August 1, 1994–August 31, 1996	36 months, Sept. 1, 1996–Aug. 31, 1999
COVERAGE	Faculty, Staff, and Students. No repertoire, but an "Exclusions List"	"Exclusions List" reduced, will probably disappear with passage of C-32
TARIFF—PART A (BLANKET)	$2.50 per FTE student per year	No change, but 4% discount on Yr. 1
TARIFF—PART B (COURSEPACKS)	Months 1-25: 3.5¢ per page per copy	Months 1–4: 3.5¢ per page per copy Months 5–24: 4.5¢ per page per copy Months 25–36: 5.0¢ per page per copy
RENEWAL	•	Rate guarantee for Part B (Coursepacks). For subsequent three years (1999–2000): Lesser of CPI, or hard cap of 0.5¢ (Yr. 1) and 0.25¢ (Yrs. 2 and 3)
RATE CAPS	•	O/P Books: $7.50 Newspapers: 2.5¢ per page (was 3.5¢)
SLIDE PRODUCTION	$0.50 per slide (35 mm) made from a book	Eliminated (within Part A)
REPORTING	No reporting for Part A Part B fully reported	No change. There will continue to be no sampling or surveying of Part A copying
INTER-LIBRARY LOAN	Covered under Part A	New Part C (separate tariff) covers document delivery to private sector organizations
INDEMNITY	Comprehensive	No change
TASK FORCES	•	1: Examine digital licensing/e-reserves 2: Examine Part B reporting methods 3: Examine distribution of Part A fees

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Figure 5

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QUESTION AND DISCUSSION SESSION

FROM THE AUDIENCE: Has the recognition of the importance of copyright issues widened out within the circles of university presidents, and is there appreciation within the AAU for taking some very strong stances?

MR. BENNETT: I think the answer to both of those is yes. There is an increasing sense of awareness among university presidents that copyright is important and that it is something in which the universities must be engaged. There is also some appreciation for AAU in particular to take the lead on this.

MR. WEBSTER (ARL): Prue Adler is giving us a lot of assistance in Washington on how to get organized to deal with the federal relations aspect of these issues. The presidential associations are not staffed to fully deal with the kinds of copyright issues we are discussing here today, although they increasingly realize its importance on campus. We are working with land grants to be better able to deal with these issues, as well as connecting with Educom and others. The Washington organizations. AAU, for example, have long been there to deal with educational issues. But there is a steep learning curve among all the associations on how to deal with legislation on copyright of digital resources. We hope to effect that change this year so that, as we go into the legislative battles that Doug and Jim alluded to, we will have the involvement and backing of higher education communities.

MR. NEAL: There is also a new AAU committee chaired by the president at Stanford, where this issue has been raised to a very high level of awareness.

MS. CLINE: Thank you. I think the message for all of us is that this is no longer an issue that any president, provost, institution, or not-for-profit library can choose to ignore, and it really does call for constant attention from each of us in the ARL community.

I would like to thank you for your participation and, again, I thank all of our presenters.

PROGRAM SESSION II
BUILDING COMMUNITY FROM DIVERSITY

INTRODUCTION

Nancy L. Baker, Director of Libraries
Washington State University

Good afternoon. For those of you whom I have not had an opportunity to meet, it has been my privilege during the past year to chair the ARL Diversity Committee. In my own professional experience with a variety of library consortiums over the years, the greatest challenge has always been how to bring together diverse libraries with different clientele, needs, and priorities into a successful consortium without seriously sacrificing the singular and often specialized needs of the individual members to such a point where the consortiums are no longer worth their while.

On top of that, when you consider that these same libraries will be represented by individuals who often vary in terms of age, race, gender, ethnic origins, and economic backgrounds, the road to coalition-building and consortiums can indeed be a bit rocky at times. We will explore this individual diversity and the challenges inherent in building communities and consortiums from diverse groups during this session.

This is really a two-part program. When I first considered how I might best introduce this program, the image that came to my mind was that of a camera's zoom lens. A zoom lens is a convenience lens; with it on the camera you can take wide-angle shots of the horizon and then, by simply readjusting the focus a little, you can take a picture of a two-inch flower, and both shots will be clear. Such different perspectives best describe this afternoon's program.

We will first take a wide-angle look at the current social trends and challenges that we are faced with as we attempt to build consortiums and coalitions out of diverse communities. We will then zoom in to take a close-up, if you will, of an award-winning project that has brought together diverse groups from the community to form a successful coalition to achieve the common goal of creating affordable housing in Santa Fe, New Mexico.

Our first speaker is Dr. Evelyn Hu-DeHart, Professor of History and Director of the Center for the Studies of Ethnicity and Race in America at the University of Colorado-Boulder. Dr Hu-DeHart is a recognized expert in the policies of multiculturalism and has previously taught at a number of institutions, including City University of New York; New York University; Washington University in St. Louis; the University of Arizona; and the University of Michigan. Dr. Hu-DeHart received her B.A. in Political Science from Stanford and a Ph.D. from the University of Texas at Austin. In addition to her many publications, lectures, and public presentations throughout the world, she has testified before the U.S. Civil Rights Commission and has appeared on the McNeil-Lehrer News Hour. I might also mention that she received two Fulbrights to Latin America and a three-year Kellogg National Leadership Award.

I am also pleased to introduce Joseph Montoya and Steven Bruger, from the Santa Fe Affordable Housing Roundtable, a coalition of city and county governments for a nonprofit organization. The project first came to our attention because of its sponsorship by the Ford Foundation and the fact that it is administered by the John F. Kennedy School of Government at Harvard. Mr. Montoya, the principal planner of the community, is a native New Mexican, and in his current job as principal planner he is charged with overseeing housing and economic development for the city. He has bachelor's degrees in both Interdisciplinary Studies and Architecture.

Steven Bruger is the Executive Director of Tierra Contenta Corporation. Among his many duties, he is responsible for integrating residential and nonresidential land use and building infrastructures for that development. Mr. Bruger has a B.A. in Economics and an M.A. in City Planning from the University of Wisconsin.

Please join me in welcoming our speakers.

REDEFINING AMERICA: DIVERSITY IN THE 21ST CENTURY

Evelyn Hu-DeHart, Chair
Department of Ethnic Studies
University of Colorado

Diversity is bit like pornography—you can't define it, but you know it when you see it. I will try to give you some perspective on diversity from my point of view. Diversity is an important concept, one that we use almost every day, but at the same time it is a very difficult one for most of us to grasp.

In most of our institutions, we don't seem to have a consensus on what diversity means, but it's not for lack of trying. I think it's almost out of fear, partly because diversity is a sensitive and explosive subject. It provokes much reaction and, recently, backlash. At the same time, because diversity seems to embody the concept of inclusiveness, part of the fear of coming to grips with this diversity is the fear of omitting anyone. So, in the name of diversity, what we have ended up doing in most of our institutions is just throwing everything into it, any kind of difference or distinction in the community in which we live and work.

But, in the end these kind of definitions of diversity become a catchall for all the kinds of differences people can think of, regardless of the historical nature and construction of these differences and their significance and consequences for people's lives. Ultimately, such a definition of diversity has very little meaning, and yet we go about doing things in the name of and to advance diversity, but without always knowing why.

So, as I said, I will be offering a distinct view of diversity based on one set of differences, if you will, and, as a historian, I will be very historically oriented. Let me very quickly tell you that, since we really won't have much time today to exchange ideas and comments, I do welcome you to e-mail me at <hudehart@spot.colorado.edu>. I also want to thank my Dean of Libraries, Jim Williams, for bringing me here today.

As someone who came to the United States as a young child I can perhaps observe the United States more objectively than some of you who were born and raised in this country. One of the things that has struck me about diversity is that many of us in the U.S. talk about it as if it were a recent phenomenon and a new discovery, but, in actuality, this country was founded on the basis of diversity after a handful of Europeans came over to this country and encountered all of the Americans, tens of millions of native peoples who had already been living and working and creating civilized cultures before they had even arrived.

Of course, we don't date history in this country until 1492. In Central America alone—or in Mesoamerica, which encompasses the southwestern part of the United States where we are right now—we estimate that as many as 25 million people lived here before the arrival of the first European. That's a tremendous population.

Not long after the Europeans came and encountered the native people, in fact, with the very first contingent of conquistadores, people of African descent came to America. That infiltration of people of African descent was of course greatly accelerated with the establishment across the Americas of the plantation economies. Tens of millions of Africans were brought over to the Americas over the course of four centuries, tremendously enhancing the Americas' diversity. Furthermore, in 1848 the Southwestern portion of the United States expanded its territorial base rampantly, and so, after beating up on Mexico, the U.S. incorporated half of Mexico's national territory. In the treaty of Guadalupe Hidalgo, dated 1848, we took

half of Mexico's national territory. By doing so, we also incorporated the people, the cultures, the languages, and the religions of those who were already living there.

As if that wasn't enough diversity, California, of course, was "discovered," and, along with it, gold. The discovery of gold created a need for labor at the same time that the worldwide pressure to abolish slavery accelerated. So how did the Californians solve the labor problem? They did so by crossing the Pacific this time, and brought over yet another group of cheap and docile workers, in this case, Chinese male laborers, followed shortly by other Asian groups, further enhancing this country's diversity.

So a quick survey of American history tells us that this country was founded and continued to develop and grow on the basis of diversity. Then how is it that we have only recently, in the last few decades, begun to talk seriously about diversity? By posing this dilemma, I am trying to give you an answer. Let me start by briefly quoting Donald Kagan, a very distinguished historian and scholar from Yale University, who asserted, "Except for the slaves brought from Africa, most came voluntarily." He is referring to immigrants: "Most immigrants came voluntarily as families and individuals, usually eager to satisfy desires that could not be met in the former homelands. They swiftly became citizens, and within a generation or so, Americans. In our own time, finally, African-Americans also have achieved freedom, equality before the law, and full citizenship. What they have in common, and what brings them together, is a system of laws and beliefs that shape the establishment of the country, a system developed within the context of western civilization."

Now, I use this as an example of the familiar kind of American history that most of us have been taught, and the only caveat Kagan gives is the question of the slaves, because it is too large an issue to be glossed over or ignored. But the problem I find with this—what I call the master narrative of American history—is that it also ignores the history of the Mexican-Americans, those original inhabitants of this area who were incorporated after Guadalupe Hidalgo in 1848. Those inhabitants cannot possibly fit in this image of immigrants coming over and seeking happiness and citizenship.

Of course, this depiction of American history also overlooks the question of the native peoples of the Americas and of the United States. The native people of the United States established their relationship with the Europeans who came over to settle, colonize, and form governments on the basis of treaties, over 300 of which were signed and still remain on the books today. It wasn't until I got my Ph.D. in history that I learned that it wasn't until 1924, after World War I, that the United States government extended U.S. citizenship to all Native Americans.

Finally, what about the Asians who came over in the middle to the late 19th century to provide that labor that was much needed in the opening of the "American West"? Again, a significant fact that I did not learn until well after my own Ph.D. in history was that those who look like me, Asian immigrants, were, until 1952, denied the right to citizenship in the United States. I also learned that in 1790, shortly after the republic was founded, a law was enacted by the founding fathers called the U.S. Naturalization Law. The 1790 Naturalization Law, which regulates how immigrants become citizens and which remained in effect until after World War II, stipulated that only free white immigrants could become citizens of the United States. So, by that law, all those Asian immigrants who came over to work in the United States were denied the right to citizenship.

If you consider all of these facts, we begin to get an answer of why, on the one hand, this country was founded on the basis of diversity, but, on the other hand, it only recently recognized its diversity. I think the answer lies in the traditional interpretation of American history. Both Professor Kagan, whom I quoted earlier, and Professor Alexander Saxton, who recently retired from teaching at UCLA, are white males. Dr. Saxton has offered an alternative interpretation of American history that takes into account this diversity dilemma, which I find is very powerful. I want to share you with Dr. Saxton's alternative interpretation of American history. He believes that America's supposed openness to newcomers throughout most of its history has been racially selective: "By the time of Jefferson and Jackson, the nation had already assumed the form of a racially exclusive democracy." That is, it was democratic in the sense

that it sought to provide equal opportunities and allow for the pursuit of happiness for its white citizens through the enslavement of African-Americans, the extermination of Indians, and territorial expansion at the expense of Indians and Mexicans. It was not equal opportunity to all, but invited white Europeans and excluded others. It is true that the United States absorbed a variety of cultural patterns among European immigrants at the same time it was erecting a white supremacist social structure moderately tolerant of European ethnic diversities. The nation remained adamantly intolerant of racial diversity.

This crucial difference has been permitted to drop from sight. That is, the difference that we historically have made between ethnic diversity, which we do indeed celebrate, and racial diversity, which we have not. Recently, however, we have begun to acknowledge the fact not only of racial diversity, but of what exactly caused the white supremacist social structure. So, although this racial diversity has not only been officially recognized, it has indeed been in practice and, in our institution, is deeply entrenched and arranged in a hierarchical fashion.

It is this kind of diversity that the country is really grappling with, and, to me, this is the fundamental contradiction of American history, that between America's multiracial origins and growing multiracial reality on the one hand and its still-dominant self-image as white and European on the other. The diversity that this country was founded on and continued to build on is even more dominant today as we move into the third millennium. The stated ideals of freedom and democracy are found alongside a racist social order that has historically relegated peoples of color to an inferior status, as cheap labor at best and as an extraneous population at worse, but, in any case, not as equal citizens.

As we speak, we are once again in the throes of several different kinds of nativist movements. These are exemplified by the ongoing English language-only movement that began a few years ago and, more recently, by the movements against immigrants as captured by California's Proposition 187, which has been replicated by other states and also attempted by the federal government. Of course, most recently there has been the attack on affirmative action. Whatever one might think of the merits of the arguments, they are in any case manifestations of this nation's continuing difficulty to deal with diversity.

Starting in 1965, organized concerted efforts were made in this country to dismantle the official system of white supremacy. Let's not make the mistake that apartheid was only a problem in South Africa, because before the South Africans erected their system of apartheid, the United States had already been practicing its own apartheid system. After the Civil War, although we officially abolished slavery, it didn't take long to create another system of racial segregation, separation, and institutionalized forms of inequality sanctioned by laws and by Supreme Court decisions such as *Plessy vs. Ferguson* in 1898.

Let's not forget that during World War II Japanese-Americans were put into camps all over the western U.S. and in certain interior states, where they were kept for many years without ever being charged with any kind of crime. That fate befell only one group of people in the United States. But what is exciting is the 1965 convergence of domestic policy changes and international developments that caused this country to face its history and deal with the contradictions I just attempted to describe. The civil rights movement did succeed in dismantling apartheid in this country. In such a short time, of course, it wasn't able to get rid of people's deeply held values and practices, but it at least got rid of the official laws sanctioning apartheid.

Along with that, the world was changing. It was very difficult for the United States to get rid of racism at home and yet still defend its racist policies on immigrants. One of the things that the U.S. did in the course of the 20th century in order to preserve the concept of a white nation was actually curtail immigration from non-European parts of the world.

The Chinese were the first of many Asian groups who, by 1924, were denied entry to this country. The same year, the first set of immigration laws based on the "national origins quotas" principle was enacted, effectively closing the country's doors to immigrants from non-European parts of the world. All those things began to change by 1965, and it was no coincidence, as I see it, that these laws were changed at the same

time as the ongoing civil rights movements. Besides the kinds of contradictions that the United States had to deal with, the country found itself intervening in civil wars, if you will, throughout the world, particularly in southeast Asia and Central America. In so doing, it actually created a wave of a particular kind of immigrant, to whom we eventually had to open the doors. These immigrants were called refugees, and that's how my family came to the United States, as refugees of wars in which the United States became deeply embroiled.

The upshot is that, in the mid-1960s the United States opened its doors to immigrants, but this time to people from all over the world without the kind of restrictions that had formerly been in place. We removed the national origins quotas. The consequences of this new and ongoing wave of immigration are just enormous. These new immigrants are coming to a country that no longer officially subscribes to what Alexander Saxton and other historians have called white supremacy.

By 1952, the naturalization laws that limited citizenship only to white immigrants were dismantled. So in the last 20 or 30 years up to 18 million new immigrants have come to this country and have once again drastically changed the nature of the American population. This is what we're facing today. We're dealing with diversity, and we're dealing with it in a way that forces us to confront our own history, in a country that has historically built itself on the basis of a racially exclusive democracy, but no longer wants to stand by that principle and for the first time wants to confront the historical diversity of this nation in a different way.

So, if you will give me a little time, I will point out some of the things, first of all, to show the history of immigrants in this country. Figure 1 covers the period from 1820 to 1990, and you will see that we faced a tremendous wave of immigrants in the 1980s. When you compare this decade to the first decade of the 20th century, however, you will see that, in absolute numbers, many more people came over then than even in the 1980s, the decade that provoked so much anti-immigrant sentiment. This other chart really brings it all home (Figure 2). If you look at the number of immigrants per 1,000 U.S. citizens, including those who are foreign born, you will see again that the rate of immigration was much higher, or, to put it another way, that many more people in the 19th century were of immigrant status than in the last few decades of this century.

The fear of immigrants is troubling when we look at these figures. But let me continue and suggest why the reaction is so different and virulent today. It ties into the difficulty we still have about dealing with the kind of diversity about which I am most concerned.

If you look at 1907, which is a year of especially high immigration, and look at where the immigrants come from, you begin to see the answer (Figure 3). For 100 years, the immigrants came almost exclusively from Europe, and, at the same time represented an enormous diversity of Europeans, much greater than was the case in the early part of the 19th century. In the latter part of the 19th century and in the early 20th century, immigrants came from Russia, Italy, and the Balkans, parts of Europe that had not been well-represented in the United States and were indeed looked down upon by the Anglo-Saxon Europeans who were the first to arrive in this country. But if you look at these numbers, only a very small percentage came from non-European countries.

So yes, there was tremendous diversity. This is what Saxton was talking about, a tremendous and growing ethnic diversity represented by the immigrants a century ago. Those immigrants were eventually absorbed, and they are the ones who gave truth to the metaphor of the melting pot. The next diagram sums it up very well, because if you look at the period from 1951-90, you begin to see changes in the nature of immigrants (Figure 4). For instance, Asia was practically not represented at all in the 1950s because of the national quotas act that was still in effect. When that act was lifted, you will see the Asian immigrants occupy an increasingly larger percentage of the immigrant population. The same is true with Mexicans. The number of immigrants from other Latin American countries also increased rapidly, and those from Europe and Canada declined tremendously, from almost two-thirds of the immigrants in the '50s to barely 12 percent.

What we know now, if we project forward, is that this country will become increasingly diverse, so that by the year 2050 white Americans, or those who claim European heritage, will make up barely half of the population (Figure 5). This demographic projection is fairly well-accepted. I have two overheads to support this; the first gives you some concrete numbers (Figure 6), and the second graphs the two groups' growth (Figure 7). The ethnic community that is growing the fastest is Hispanics, something which is particularly relevant in this part of the country. They are projected to become, by 2030, the largest ethnic group in the United States. That is, admittedly, a particularly difficult route to characterize because currently the way "Hispanics" or "Latinos" are looked at is a culturally, not racially, defined rule. But all these terms are shifting, and it's hard to say what this group will be viewed as. There is currently a movement by certain "Hispanic" leaders to define themselves racially rather than culturally for, probably, political reasons.

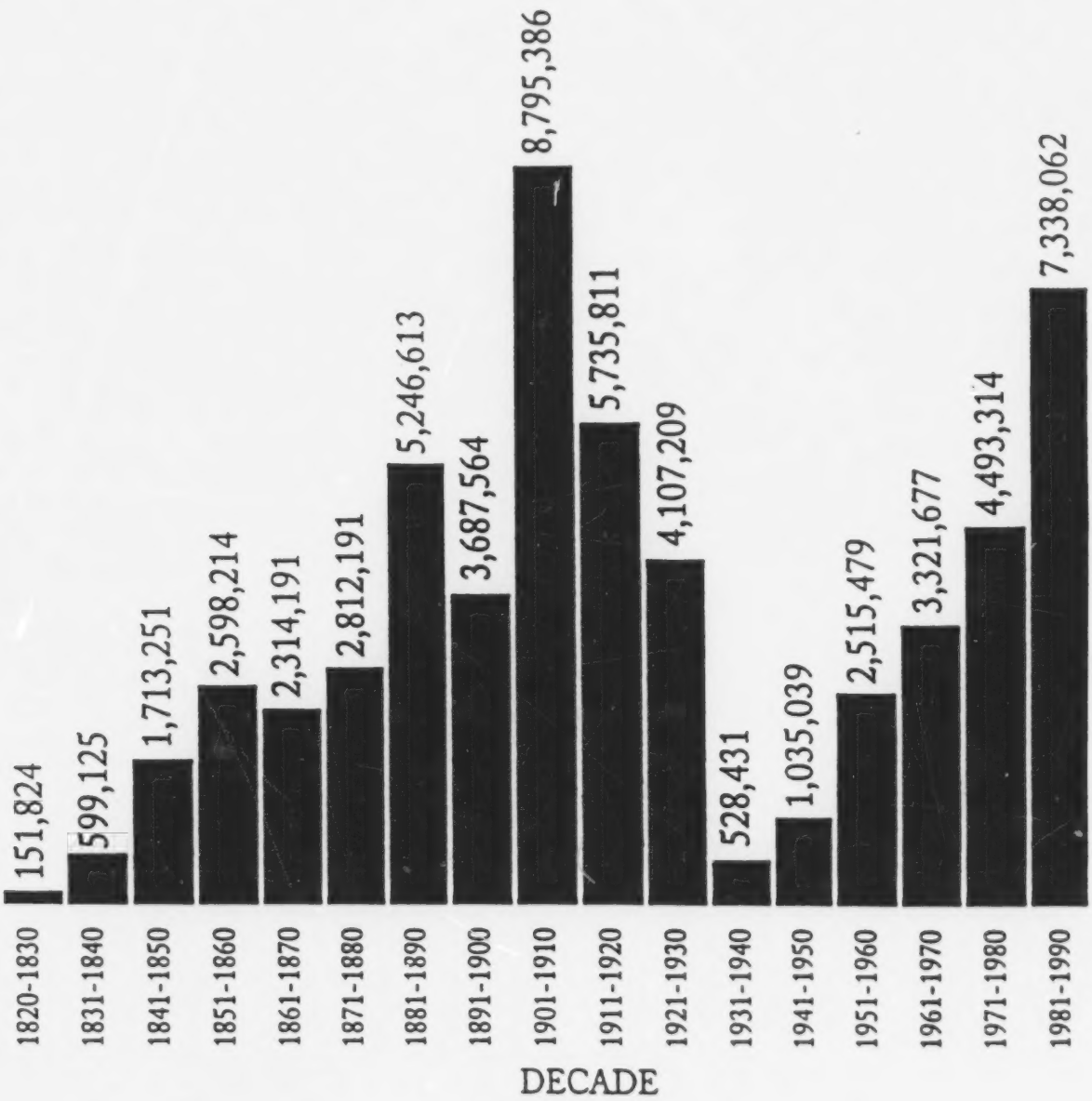
It is interesting to see how the Hispanic group, which currently makes up about nine percent of the population, is divided (Figure 8). The vast majority of those in this group are of Mexican descent; that is certainly the case all over the Southwest. They are followed by Puerto Ricans, Cubans, and others, including Central and South Americans. The second fastest growing group in the United States, which is projected to become an evermore significant part of the U.S. population, are Asian immigrants and their descendants, the Asian-Americans (Figure 9). You can see that this group is led by Chinese and Filipinos.

In conclusion, the challenge facing America today is not only the recognition of our historical diversity, but that we recognize it in a period in which our ideologies have changed, a period in which nations have rejected, or at least disclaimed, white supremacy. How do we meet the challenge of diversity in this new ideological context when we no longer subscribe to the theory that certain racial groups are, by nature, superior to others? What's difficult, of course, is that we still have hundreds of years of historical legacy to deal with, and that cannot be dismantled overnight simply by changing the ideology or by removing from our books the laws that had historically sanctioned white supremacy.

Thank you very much.

FIGURE 1

Number of immigrant arrivals by decade, 1820-1990



Source: Statistical Yearbook of the Immigration and Naturalization Service, 1992

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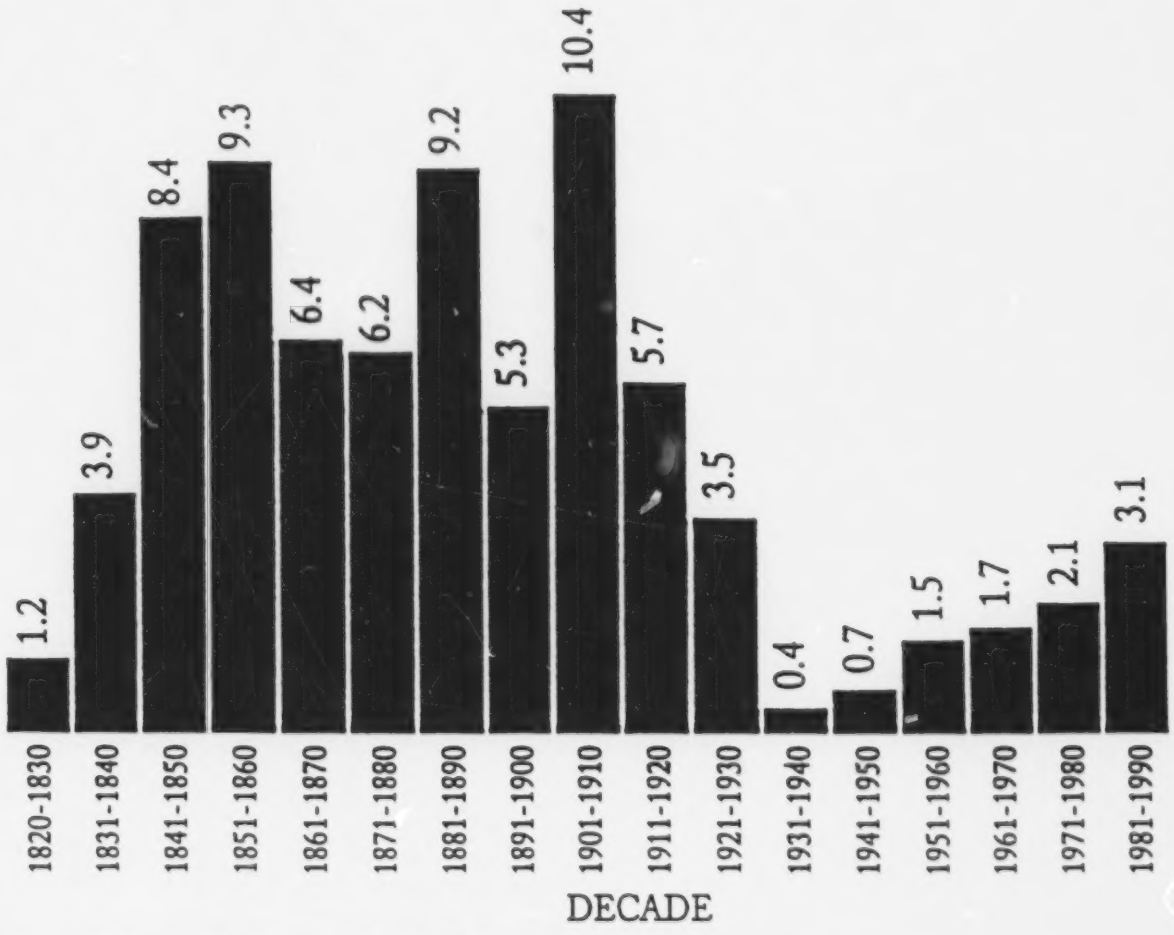
FIGURE 2

Rate of immigration by decade, 1820-1990

Number of immigrants per 1,000 U.S. residents



Source: Statistical Abstract of the United States, 1992

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Figure 3. Country of Origin of Immigrants to the United States, 1907 (Number of arrivals in thousands)

The rise of immigration from countries in southern and eastern Europe had become very pronounced in 1907, the peak year of annual immigration up to that time.

Source: Philip Taylor, *The Distant Magnet: European Emigration to the U.S.A.* (New York: Harper and Row, 1971), Diagram 1, p. 63.

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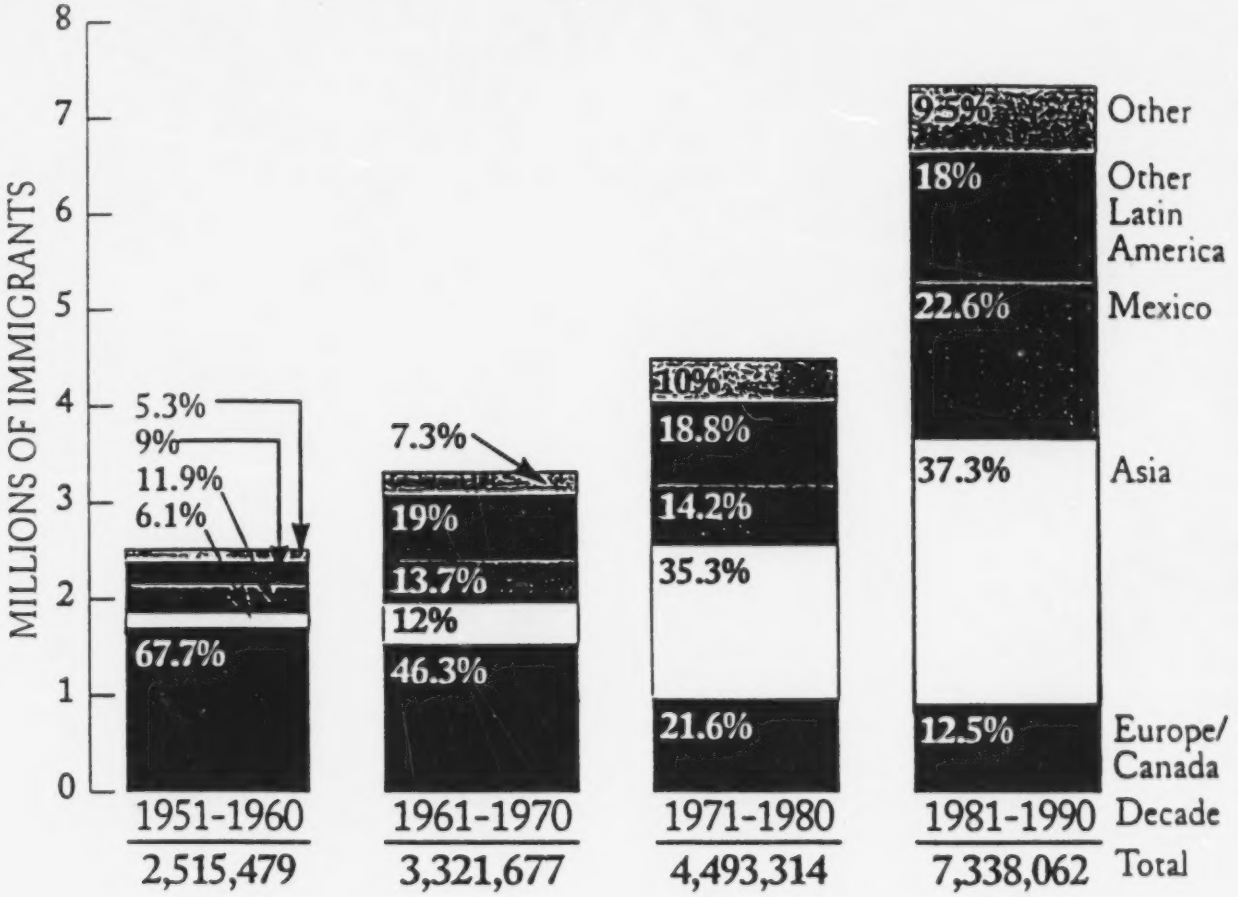
FIGURE 4

Legal immigration by country or region, 1951-1990



Source: Statistical Yearbook of the Immigration and Naturalization Service, 1992

*Percentages may not add up to 100 due to rounding.

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FIGURE 5

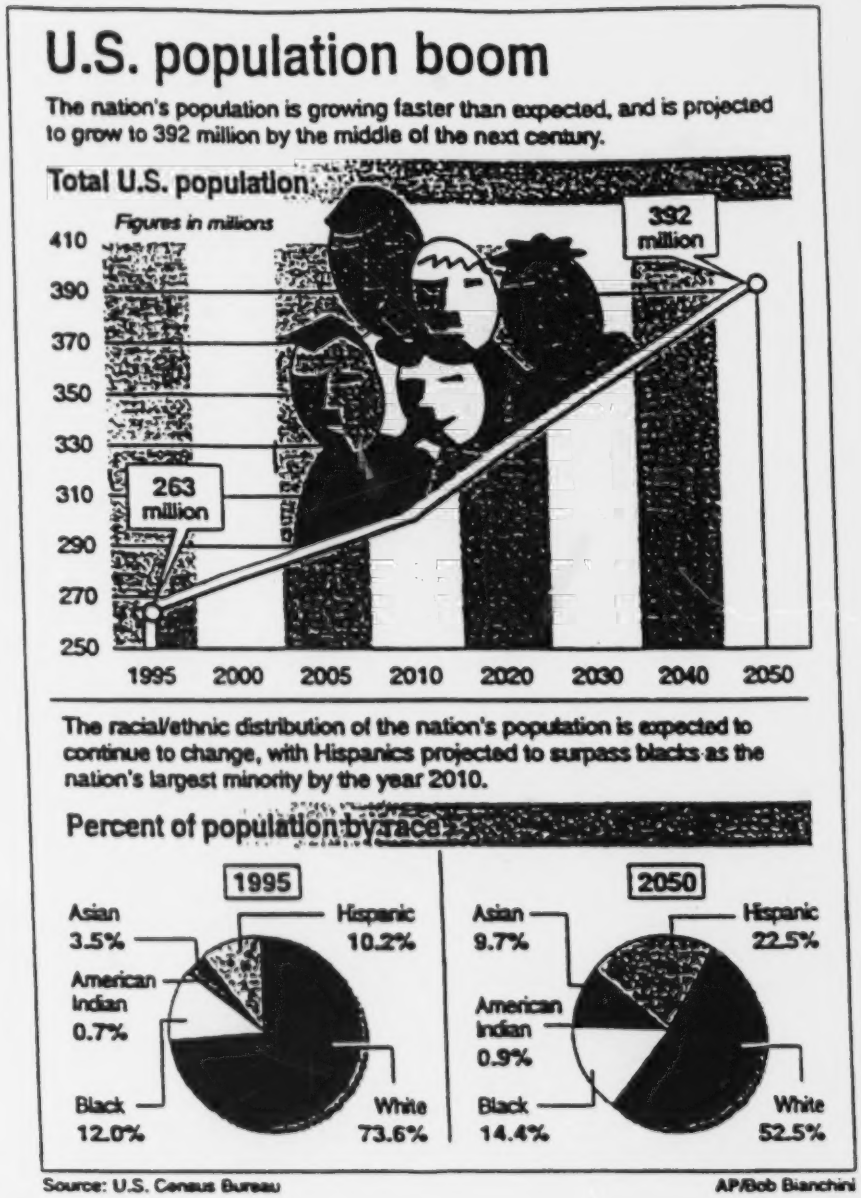

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Table 1

U.S. Population Estimates, 1980 and 1990

Race/Ethnicity	1980		1990	
	Number	Percent	Number	Percent
Total U.S. Population	**227,757,000**	**100.0**	**248,709,873**	**100.0**
White	195,571,000	85.9	199,686,070	80.3
African American	26,903,000	11.8	29,986,060	12.1
Asian/Pacific Islander	3,834,000	1.7	7,273,662	2.9
American Indian	1,420,400	0.6	1,959,234	0.9
Hispanic Origin*	14,608,673	6.4	22,354,059	9.0

* Persons of Hispanic origin can be of any race.

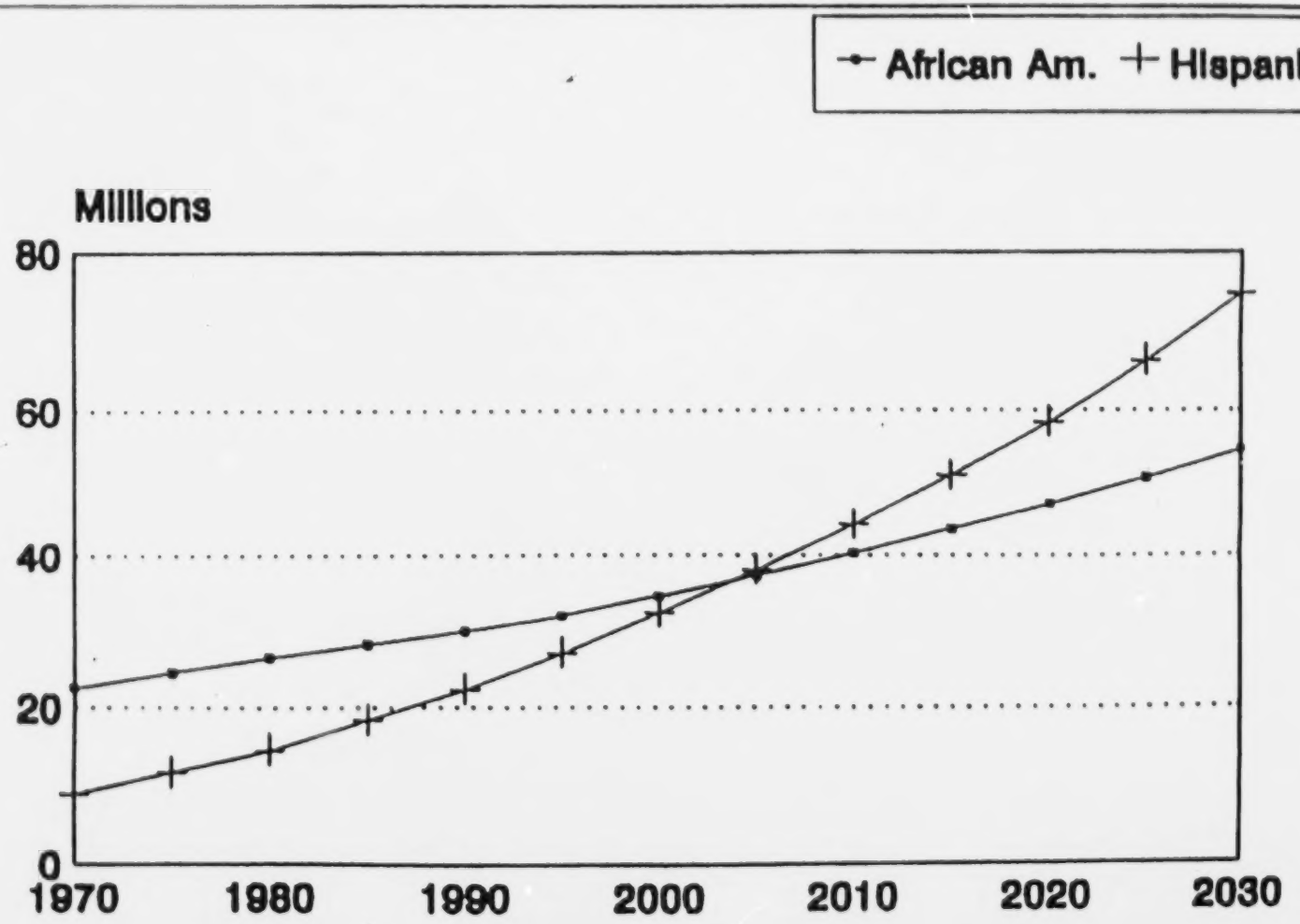
Note: The 1990 figures are subject to possible correction for undercount or overcount and have not been statistically adjusted to account for persons who identified themselves as "other race."

Source: Census Bureau, Preliminary Population Estimates, unpublished data, 1991.

FIGURE 6

FIGURE 1. POPULATIONS PROJECTIONS FOR SELECTED MINORITY GROUPS

HIGH SERIES FOR AFRICAN AMERICANS AND HISPANICS



Source: U.S. Bureau of the Census.

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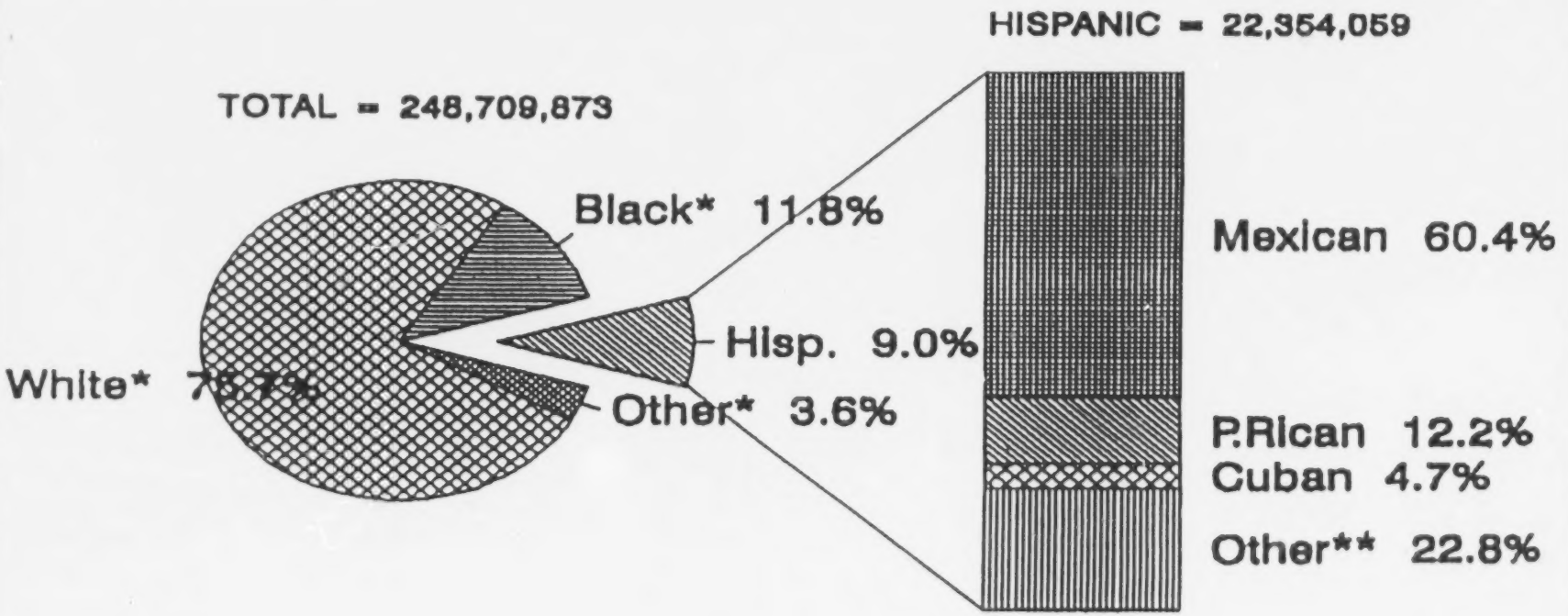
FIGURE 7

FIGURE 3. PROPORTIONAL REPRESENTATION OF THE U.S. POPULATION

BY RACE AND HISPANIC ORIGIN: 1990 CENSUS

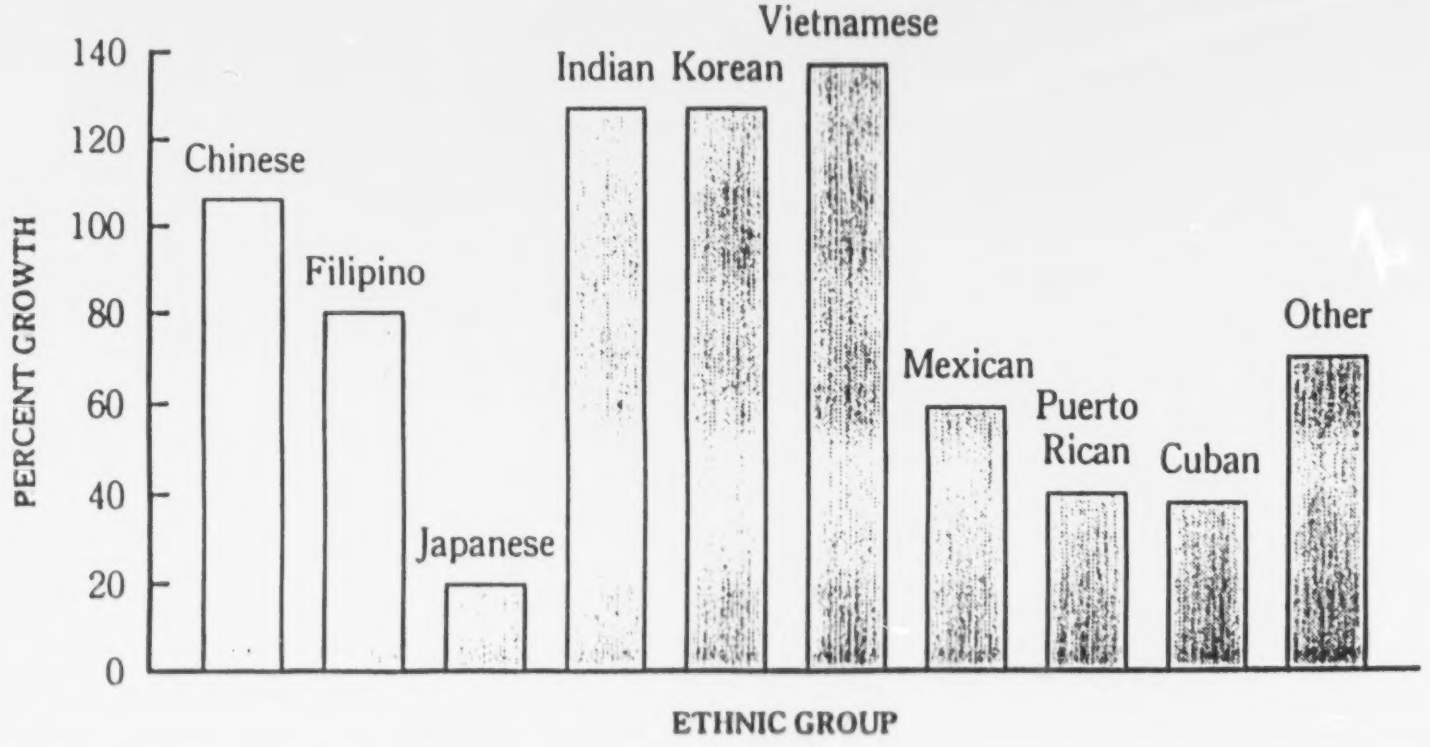


Source: U.S. Bureau of the Census.
* Non-Hispanic.
** Other Hispanic.

FIGURE 8

Figure 3.7. Population Growth of Asian and Hispanic Ethnic Groups, 1980–1990

After passage of the Hart-Celler Act in 1965, Asian and Hispanic immigrants became the fastest-growing ethnic groups.



Source: Derived from *Statistical Abstract of the United States, 1992* (Washington, D.C.: U.S. Government Printing Office, 1992), Table 16, p. 17.

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SANTA FE AFFORDABLE HOUSING PROGRAM

Joseph Montoya, Principal Planner
Community Development Division
City of Santa Fe

and

Steven Bruger, Executive Director
Tierra Contenta Corporation

The production of affordable housing is an important ingredient in preserving the centuries old cultures that built the city of Santa Fe in the first place. Due to the amount of gentrification, Santa Fe's indigenous people have been hardest hit by Santa Fe's booming housing market. Families who have lived in their homes for generations are paying more in property taxes than was ever paid for the house. Even more significant, the children had nowhere to go where they could afford to live. A generation of people was either being forced out of town or was destined to pay too much for the few available, substandard homes. In creating mechanisms to work toward the production of housing and preservation of a people and their culture, it was essential to borrow important values which these indigenous cultures could teach us. This means that not only is the production of housing essential, but the manner in which housing is produced is just as important.

One of the most important elements of the Santa Fe Affordable Housing Roundtable is the decision making process. The process is rooted and molded after traditional patterns of group interactions and determinations. First, the people who implement the programs are those most affected, and they are also the ones who decide the allocations of resources. The decision-makers are not distinct from the implementers. Because the group is expected to make far-reaching policy decisions, it must be responsible. Members of the group must have a sense of accountability to the Roundtable and community as a whole. Another required aspect of this model is honesty. The group members must be honest about their capabilities and their needs. All members must remember their respective roles and their commitment to the strategic plan that they collectively developed. This is clearly a bottoms-up consensus approach to self governance and decision making.

Another important aspect of the culturally influenced Roundtable process is the design of the individual programs. One example of the new program is the land trust. A land trust acquires parcels of land to be held in perpetuity for the benefit of that community. It provides secure affordable access to land primarily for housing through long term ground leases. This model prohibits speculation and absentee ownership of land. This model is especially effective in high cost land areas, such as Santa Fe, where developed lots can't be found under $50,000. This system of land ownership takes the cost of land out of the equation thus making housing units produced on the land far more affordable. One of the models we used to design the land trust program in Santa Fe were old Spanish and Mexican land grants. Grants of land were made to families or groups of colonists for the purpose of allocating land in much the same way that the American government granted land through homesteading. The big difference, however, is that land was not granted free simply to an individual but land was provided toward a full clan of people. Most of the land was held in perpetuity for grazing, forest products or agriculture. The colonists held the land in common title so there was a unified interest in preserving the land and improving it. This led toward a unique system of land and organizational governship.

In designing the land trust program we borrowed liberally from these historic models. Not only do these models have hundreds of years of experience behind them, they are, most importantly, reflective of

the culture which produced them. Since Santa Fe still has a historic living culture it was felt that this model would be more easily accepted here than in other parts of the country.

Another example of a newly developed program that is culturally influenced is the homeowner built program. The people of Santa Fe have a centuries old tradition of building their homes from the readily available materials of mud, water, stucco, cactus and wood. The tradition of homeowner building has degenerated as late because of changing financing instruments, complex code requirements, and basic economic factors. People were being forced to sell land that was in the family for generations because they were caught between higher taxes and little ability to finance the construction of a new home. There are however, quite a few native people who still own land. A significant percentage of the population has some construction skills in view of the fact that construction represents over 20% of the economy.

With these contracts and opportunities in mind, we felt there was a chance to continue the tradition of homeowner building through the development of a new program. The home-owner built program is designed to assist with the construction process including drafting, construction supervision, permitting, construction management and training in areas such as cost containment strategies and alternative building techniques. In addition to construction assistance, the program includes assistance with general budgeting, legal and title work, and most importantly, access to alternative aspects of financing. Other assistance is provided in the form of referrals and access to lower cost materials, training of construction skills, and information on kit homes and a construction training camp.

Perhaps the most important aspect of attempting to borrow from indigenous cultural patterns is in the area of design. The premise in design philosophy is that there is a deeply intertwined connection between culture, design values, and human relationship. There is a firm belief that the built environment and its relationships affect and assist in molding human relationships. It is important to note that human relationships are reflective of cultural patterns. The manner, quality, depth, and degree of human relationships are in part molded by cultural background. Our living environment, including the man-made environment, helps shape that cultural background. In this context, language, rituals, literature, food, music, and art are not culture, they are images of a culture, but not culture in themselves. Culture is defined as a set of values and lifestyles that have a distinctive nature and history.

What does modern suburban development tell us about current American culture and how does this type of development shape our human relationships? Street layouts are often gridded and always uniform at least in width. The roadways are engineered in a way that usually has no relationship to the natural topography or any other site considerations except perhaps viewscapes. What this implies is that housing developments are designed to dominate nature, or at least for the few, visually conquer the natural landscape. The uniformity of roads is designed with the maximum amount of efficiency in mind. Perfectly perpendicular lines, right angles, consistency, and uniformity are rules that are held high. Remember, we invented McDonald's. Street layouts are not only a function of those values but of the process by which they are built. Roads are conceived and drawn with tools that are mechanistic by nature. Usually these specialized tools and the specialized people who operate them are miles away from the site, getting paid to do a job they have little human connection too. Their guidance comes from national, state, and local regulations and national professional standards that also increase uniformity. The idea and value of specialization, fee for services, standardization, and the need and will of regulation are all very prominent in American culture.

One truly great American tradition is its love affair with the car. This love affair with the car is also reflected in our street layouts. Our streets and parking requirements are carefully engineered around the specific needs of our automobiles. This may not seem odd especially until when one considers that cars have become more important to the design of cities than are humans. Few, if any, urban designs start with human scale pedestrian systems of transportation to build cities around, yet for most of our human history this is exactly how cities were built.

The housing patterns that are then tacked on to the automotive demonstrated street and street dominated design also reflect ongoing cultural values. Garages are set prominently in front, making a bigger statement than the front door. The houses themselves are at clear 90-degree angles to the street and perpendicular to each other.

Each house is a distinct element of its surrounding urbanscape with little or no relationship to the house next door. Most houses are built on a pattern that provides very little distinction between houses, so there seems to be a great need to differentiate between units through some kind of facade embellishment. The desire to make strong statements of individualism under the umbrella of mass production is a statement of our own internal conflicts. Not only is each house a statement of individualism it is also a statement of financial wealth. Our houses are symbols of success, or what our culture sees as success, rather than simple habitats for humans. Houses are built of materials irrespective of their locations. Modern manufacturing, transportation, processing distribution, codes and construction techniques makes housing units constructed in the same manner with the same materials anywhere in the United States, lumber from Oregon, nails from Pennsylvania, gypsum from Arizona, asphalt from Idaho all come together anywhere in the United States.

This kind of residential building environment is influencing our human relationship patterns. Since streets are designed and used primarily for automobiles and not as social gathering places for human beings there is, not surprisingly, little social contact. People drive directly into their home through their garage, close the door, turn on the television and are physically separated, by design, from their neighbors. Private open space is highly valued; common open space or a front yard is used as a landscaped monument for the garage. The housing units themselves are designed for nuclear families which are increasingly occupied by smaller and smaller family units, highlighting the sense of individualism. Because personal economic growth is so valued, Americans have become a very transient people. Americans move on the average of once every seven years, primarily for increased economic opportunity or housing upgrades. This type of transition does not allow for deep ties to a specific community but indicates a greater value on a type of house rather than to a specific location. This kind of transience is made easier by the fact that housing units are often so similar from one part of the county to another that families can do this with very little social upheaval.

How are these aspects of the built environment different from Santa Fe's traditional cultural and building patterns? In Santa Fe's historic areas or those areas that were built before institutionalization of zoning and subdivision regulations, each street with its angles and corners is unique, thus providing visual adventure. Streets are small, winding and never uniform in width and length. The streets follow natural topographical constraints and are closely patterned around hills, vegetation, drainage systems, water access and spiritual points. Streets are clearly not designed around the car as many a frustrated visitor can testify. The streets themselves are of secondary importance to the landscape and housing. The street patterns and size are less of a feature than the massing of walls, portals and other architectural elements that demonstrate the fabric of the urbanscape. The housing blends with the street, rather than simply placed on individual lots. Many homes are built up to the street and very close to each other. Each house is completely unique in design, yet does not stand as an individual statement but blends in with the surrounding homes and landscape. There is no clear distinction between large or small homes and often many homes are connected to each other. There is rarely a straight line between homes, nor do the homes themselves have straight angles or definitions, a fact that often drives surveyors crazy. Homes are oriented toward interior, not toward the street and private open space is provided through the connection between several homes. Houses are traditionally built out of mud, stone, and vigas from the immediate natural environment.

These kinds of building patterns are reflective of quite a different set of values and have produced quite a different set of human relationship patterns. Because there is little difference between the massing and the style of housing units, there is very little perceivable difference between the people who occupy the units. This provides for a healthy socioeconomic mix of people. Wealthy people do not flaunt wealth, and poorer people do their very best to maintain dignity. The overall value is not to individually make a statement, but to blend into the fabric of the community. The housing is not mass produced but handcrafted,

often by its residents, who have extended family units, who work together and often build next to each other. The idea of community was focused on the extended family and housing unit relationships promoted a high degree of daily contact. Human contact is mandatory because the building patterns do not allow for isolation. The importance of the extended family and the tie to the same land for generations are often of greater value than the chasing of increased economic fortune.

The form of the architecture is simple, primitive, and elegant. The combination of massing, buffed coloring, deep textures provides a type of serenity rather than spectacle. Again, it's an architecture of tranquillity and repose rather than promotion.

The production of affordable housing can be used as a tool to maintain a living environment and promote traditional values and perspectives. Clearly the manner and system we use in producing housing are important in maintaining these traditional values. If, for example, extended families no longer have land, expertise or financial means to build next to each other, then this provides another force to fragment families leading to dislocation and employment transience. This then also leads to a profound breakdown in the social fabric of a cherished way of life and a fundamental breakdown of these healthy and nurturing cultural norms that have developed over the centuries. It is, of course, unrealistic to believe that if we design new developments like old ones, all economic and social systems will also return and produce a living past. It may be possible, however, to provide a living environment which is less car oriented, provides areas for meaningful social contact, and a revised sense of community.

MS. BUTLER (State University of New York, Albany): I am curious; how do you keep a community like that intact after the initial sale of the homes? And, after working with the people who are involved in the coalition-building and decision-making, what are the next steps that need to be built into the process to keep it viable?

MR. BRUGER: I'll start that. We will be discussing that at our next board meeting. Actually, residents have come up to us and said, "Every third word in the marketing material the builders had was 'community.' Where can we get involved? Who is this board? How can we get more involved in what the board is doing?" I learned what patriarchy meant. For this development to be what it needs to be, we have to create a structure to do that. The individual builders are too small, so I believe it will fall on us, as the overall developer, to build a system that will gradually allow residents to take over more and more of the functions and community-building activities.

MR. MONTOYA: From my point of view, I don't see administrative systems or structures. It's a living environment. You can build a daycare center, for example, but the system administrating that daycare center or the people involved in it are what's most important. We want it to be economically viable to maintain these things, so we want to make sure our job production rate is high, with activity centers that aren't just regular places, but are places where people work and make a living so they can actually sustain themselves.

I often feel like a museum item when people say things about us like, "Well, they're over here and doing this." It is very important to keep a living, breathing kind of activity within every new economic system we achieve. That's why we have an industrial park that will be pedestrian-oriented, connected. We are trying to promote interaction even with the design of the houses themselves. I think that's often what is lacking in design. The concept of individuality has become so ingrained in how structures are built and designed that it has become destructive: we've lost our internal sense of knowing our neighbors. So this may go against the grain of what some people think, but I believe it is the only way to really create a continuum of knowledge and to exchange values.

MR. HAAK (University of Hawaii): Early on in your discussion, you talked about the tax rate structure and the rapidly inflating housing market. How are you dealing with that? Have you changed your tax rate structures?

MR. MONTOYA: It's an interesting issue. Our property tax rates are actually fairly low. We get very little income; one percent of its budget is dependent on property taxes. The problem is that, even though the rate is so low, the housing that was appraised in 1950 at maybe $5,000 is going for $250,000 now. So your mill rate didn't matter; you are paying more than the mortgage for it. So it was hard to attack the rate itself.

There were almost 23 bills in this last legislative session that tried to make special exemptions for low- to moderate-income people or for long-time residents. The problem is that, besides Santa Fe and perhaps Taos, we are one of the few areas in New Mexico that has this problem. If Albuquerque were actually experiencing an affordable housing problem, we might have more power to be able to do something. A city council in New Mexico doesn't have the power or ability to do much. The State doesn't allow them to. So Santa Fe does not have statutory authority to reduce a tax that the State established. However, every year the city council has voted for and has tried to promote a tax on the transfer of high end properties.

MR. HAAK: It doesn't inflate everybody else.

MR. MONTOYA: That's right. And then it could go to a housing trust fund. We got this proposal all the way to the governor's office.

MS. BAKER: Other questions or observations?

MR. WILLIAMS (University of Colorado): Evelyn, how will the distinction between ethnicity and race that you mentioned impact higher education? And how does higher education impact the demographic trend you described today?

DR. HU-DEHART: Unless we're willing to close our doors, higher education will have to deal with the new demographics. In some ways, our campuses are already becoming increasingly diverse through very little effort of our own. It's very different when we want to diversify the faculty and staff, because there the old boys can really act as gatekeepers to keep those who don't "belong" from easily coming in and, especially, staying. But the students are walking in on their own.

The problem, as we all know, is that when the students walk into institutions that have historically not welcomed them, we have a hard time retaining them. In some ways, then the retention problem is really more critical than recruiting. Why can't we keep them? Because, when it comes to the question of diversity, we have not come through it all. We bring them here, but we don't know how to deal with these young people. For instance, the Chicano students to whom Yale has opened the doors wide open have found that, once they get to Yale, it's an alienating environment, the curriculum does not reflect who they are, and the faculty offers very few role models or guidance for them. Yet, this is after the civil rights era and they don't buy into that white supremacy stuff anymore. They are being extremely assertive. There is a new stage of student activism that we have seen on our campus. The students are demanding more.

So, the greatest hope—and I refer back to what David Campbell was saying this morning—lies with these students. They, not the faculty, not the staff, not any of us here, will be the ones who will make the changes. The demographics are very straightforward: these students are the future, straight and simple, and so higher education doesn't really have much of a choice about whether we want them or not and whether we want to retain them or not.

I think that that is why diversity in higher education is such an explosive issue. It is explosive because the students are not just demanding inclusion, they are demanding profound changes and that, unfortunately, is extremely disturbing to those within our midst who still want to cling on to the old way of looking at the world.

That is why the challenge in the so-called cultural wars of the canon is mystifying to me. Nobody is wiping out Shakespeare, but there are new interpretations of his work, and that's why scholarship is so exciting. It isn't displacing one set of reading for another—it's not that simple—but it is interpreting what we used to read in light of new people and the world that they live in. It is exciting, but also very challenging, and that is what is frightening to some people.

PROGRAM SESSION III
LESSONS FROM LIBRARY CONSORTIA

INTRODUCTION

Kenneth Frazier, Director
University of Washington Libraries

Good afternoon. In the preceding sessions, we have examined the importance of developing and managing consortial relationships among diverse collaborators. The ARL community already has substantial experience in developing resource sharing, as well as in sharing catalogues and bibliographic access. Now, we turn our attention to the lessons and experiences of colleagues engaged in building the new library consortia of our era.

Today, we are seeing the emergence of library consortia that are taking advantage of information technology, networking infrastructure, and cooperative licensing. In fact, we are beginning to see prospects for genuine breakthroughs for our users. I would point to the state consortia as the best models that we have so far for doing exactly that.

Research libraries have continued to be leaders in the development of local, regional, and national consortia, which is somewhat remarkable since it might be argued that research libraries have the least to gain by collaboration. It has been said that cooperation among research libraries is an unnatural act. To this, I would add that it might be an unspeakable practice for some of our local constituencies. Negotiating multiple priorities and sometimes conflicting allegiances with partners of different missions and resources presents what we might euphemistically call "challenges," but which are, in fact, serious and intractable problems. These large strategic goals are more easily envisioned than done. In this context, the exercise of leadership becomes much more important, especially in a time when libraries are asked to do more with less.

Our three speakers today will help us sort out the key issues, chart future directions, and set the stage for your comments and questions, because we do, indeed, expect to have an opportunity to raise issues and speak to your experience.

William Potter, Director of the library at the University of Georgia, will open the panel with an overview of the topic in the leadership context. He will address the history of library consortia, the various models that have emerged, and the role of ARL libraries. Prior to joining the University of Georgia in 1989, Bill was Associate Dean of Libraries at Arizona State, and he holds a master's degree in English, as well as a master's and Ph.D. in Library and Information Science, all from the University of Illinois. He was, I'm delighted to say, also recently selected to receive the 1997 Hugh Atkinson Memorial Award.

Our second presenter, Barbara McFadden Allen, has an interesting job. She participates in leadership without any administrative authority whatsoever, and in doing so, has achieved quite remarkable success within the Committee on Institutional Cooperation (CIC) community. The CIC maps with agreeable imperfection to the Big Ten university community. Ultimately, the CIC hopes to realize a vision of information resources held by its members as a seamless whole, equally accessible to students, faculty, and research staff for all of the institutions. Barbara will discuss the strategies used by the CIC and its Center for Library Initiatives to overcome obstacles.

She is, in addition to being Director for the Center for Library Initiatives, the Assistant Director for CIC. She holds an A.B. and an M.L.S from the University of Missouri-Columbia and has served as automation and networking consultant to three state libraries: Missouri, Virginia, and Illinois.

Richard Lucier, our final presenter, is Assistant Vice Chancellor for Academic Information Management, and University Librarian at the University of California-San Francisco. He received his undergraduate degree in Music and Philosophy from Stanford University, and an M.L.S. from Rutgers University. In 1995, he was appointed Special Assistant for Library Planning at the U.C. Office of the President, providing leadership for a university-wide library planning and action initiative to ensure the continued scholarly and economic vitality of the U.C. libraries, to guide library evolution over the next decade, and to ensure that immediate actions are taken in support of such change—quite a tall order. Richard will address consortial leadership requirements and will speculate on the future role of consortia.

Please join me in welcoming our guests.

TRENDS IN LIBRARY CONSORTIA[1]

William Gray Potter, Director
University of Georgia Libraries

Concentric Consortia

The University of Georgia, for example

- University Center in Georgia
- University System of Georgia
- Georgia Online Database (GOLD)
- GALILEO
- ASERL
- SOLINET
- SURA
- OCLC
- ARL
- CRL
- Numerous other amalgamations

Slide 1

Statewide Cooperation Especially Important

- Established political and geographical groupings
- Common governing agencies
- State government exerts influence
- Common funding source
- Common social and cultural bodies
- Pride of place

Slide 2

Regional Cooperation Also Important

- CIC most notable example
- Association of Southeastern Research Libraries (ASERL)
- Others
- *BUT* statewide is where the most activity is occurring
- Regional consortia may become associations of state consortia

Slide 3

Examples of Statewide Consortia

- GALILEO in Georgia
- Louisiana Library Network
- OhioLINK
- TexShare in Texas
- VIVA in Virginia
- FCLA in Florida
- NAAL in Alabama

Slide 4

Basic Functions

- Connections to the Internet and Web
- Access to electronic resources
- Local servers
- Gateways to outside servers
- Collective licensing
- Sharing of physical resources

Slide 5

Role of Publicly Supported Academic Libraries in the State

- Common central authority
- Council of library directors
- Momentum of the Internet/Web
- "Level playing field"

Slide 6

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Beyond Academic Libraries

- Galileo includes private academic libraries, vo-tech, public libraries, school libraries.
- Louisiana Library Network includes public and school libraries
- OhioLINK considering linkages to statewide networks for publics and schools
- VIVA includes private academic libraries; goal to expand to other libraries in the state
- TexShare included as a component in a comprehensive plan

Slide 7

Services Increasingly Placeless and Virtual

- VIVA: primarily a Web site
- Others mix local and external servers
- User not aware where database is housed

Slide 8

Vision of Electronic Library

- Emerging vision of an electronic library for all citizens
- Powerful vision that has broad appeal
- Offers increasing economies of scale
- Easy to oversell this vision

Slide 9

Added Value, Not Replacement

- Services to date largely additions
- Rarely replace print resources
- Cheaper together than individually, but bottom line: no cost savings
- Resources provided to new audiences
- Increased level of service and convenience

Slide 10

Emphasis on:

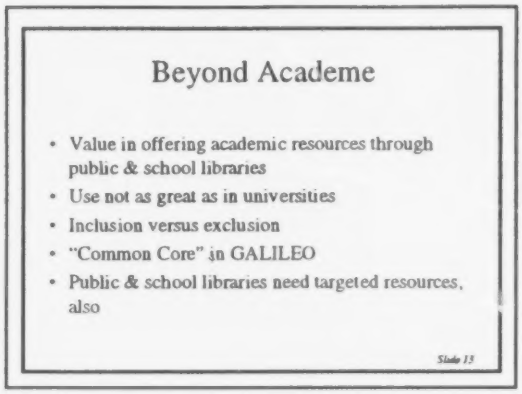
- Extension of Services
- Leverage in acquiring new services
- Possibility of future cost containment

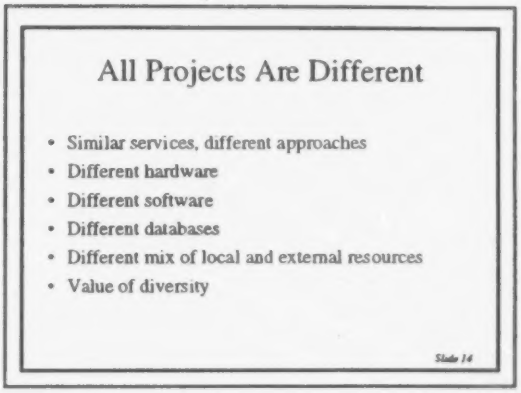
Slide 11

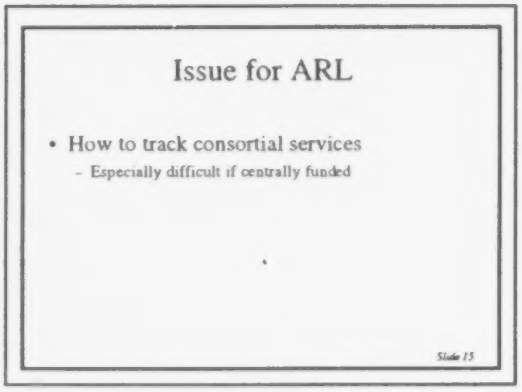
Principal Value in License Negotiations

- Benefits in inclusion
- Does not reduce to lowest common
- Level of available databases tends to rise
- Need for a level playing field important
- Common undergraduate experience
- Including smaller libraries = new income for publishers
- Publishers open to these arguments

Slide 12


Beyond Academe
• Value in offering academic resources through public & school libraries
• Use not as great as in universities
• Inclusion versus exclusion
• "Common Core" in GALILEO
• Public & school libraries need targeted resources, also
Slide 13


All Projects Are Different
• Similar services, different approaches
• Different hardware
• Different software
• Different databases
• Different mix of local and external resources
• Value of diversity
Slide 14



[1] Editor's Note: Mr. Potter's remarks at the ARL Membership Meeting summarized an article that he had recently published; see "Recent Trends in Statewide Academic Library Consortia," *Library Trends* 45.3 (Winter 1997): 416-34. Included here are the slides used at the Membership Meeting.

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CONSORTIAL LEADERSHIP: ESSENTIAL ELEMENTS FOR SUCCESS

Barbara McFadden Allen, Director
CIC Center for Library Initiatives
and
Assistant Director
Committee on Institutional Cooperation

I was in the United Kingdom last week talking to some research librarians, and at an evening reception one of the librarians came up to me and expressed amazement at the proliferation of consortia in the United States. This person asked me, "How do you handle these dueling consortia?" I was astounded by the perception that consortia would be dueling, yet it occurs to me that it may be a perception you all share, which is, in fact, the reason I have been invited to speak with you today. I will address how the Committee on Institutional Cooperation (CIC) operates as a consortium, and I hope to leave you with the understanding that it is not only possible, but is often desirable to participate in multiple collaborative ventures. You need to only look as far as Bill Studer or Sharon Hogan in the audience to know that that is true, that participation in one consortium does not preclude participation in another.

My talk will progress roughly in the following fashion: I'll describe the CIC and the CIC Center for Library Initiatives for those of you who have not heard about it before. I will then discuss some of the guiding principles and operating vision of the consortium. Finally, I will speak about the challenges we face and how we have overcome them, and about challenges our library staffs have faced, including these obligations to multiple consortia.

The Committee on Institutional Cooperation is headquartered at the University of Illinois in Champaign, Illinois. The CIC is an academic consortium of 12 research universities; within these 12 universities, there are 13 ARL member libraries. Our universities employ some 30,000 full-time faculty members and enroll nearly one-half million graduate, undergraduate, and professional students on these principal campuses. They also confer ten percent of all master's degrees and 15 percent of Ph.D.s awarded in the United States annually. It's a considerable enterprise.

The CIC was founded in 1958, and is organized both horizontally and vertically. That's to say, the members of the Board of Directors are the chief academic officers at these institutions. They are appointed by the President and meet twice annually to discuss consortium matters. Over the years, nearly every academic and administrative unit within each of these 12 institutions has been involved in one sort of CIC program or another. For instance, our purchasing directors meet together to discuss combined purchases, which can dramatically reduce the costs of supplies and services, and the Graduate Deans meet to coordinate a variety of activities, including minority recruitment and retention.

Our programs range from no-cost student and faculty exchanges to multimillion-dollar research and development projects in areas as diverse as international agriculture to student aid. The CIC programs clearly demonstrate that these institutions have developed mechanisms that enable them to accomplish more than they could have by acting alone.

The CIC is governed by three founding principles:

1. No single institution can or should attempt to be all things to all people.
2. Inter-institutional cooperation permits aggressive educational and experimental programs on a scale beyond the capabilities of any one of those institutions.

3. Voluntary cooperation fosters effective concerted action while preserving institution autonomy and diversity.

The beginnings of what ultimately became the CIC Center for Library Initiatives—which sounds like a busy and dynamic organization, but really consists of myself and two half-time assistants—can be traced back to when the CIC provosts called for overall unifying strategies to address the new crises facing academic libraries. The provosts met with the library directors in October 1992, at which time it was agreed that the libraries would collaborate in a strategic planning process to provide a framework for understanding these issues and, most importantly, for addressing them. That plan, developed by the library directors and endorsed by the provosts, called for greatly expanding levels of interdependence among our university libraries. The essence of this plan is summarized in the following statement, which I'm happy to point out was co-authored by Jim Neal, "By the beginning of the 21st century, the CIC libraries will have a cohesive consortial organization guided by a vision of the information resources in the CIC as a seamless whole, whether those resources are developed or owned individually or collectively." This is a very bold vision statement.

After adopting this plan, which can be found in its entirety at <http://ntx2.cso.uiuc.edu/cic/cli/strat96.html>, the CIC's presidents, chancellors, and provosts made a commitment to implement that strategic plan by creating and staffing the Center for Library Initiatives. It's important to note that, while all of the member universities support CIC's central office costs, all of the provosts have set for themselves an annual fee for the Center for Library Initiatives office operations. Each CIC university makes a decision about what particular activities it will be involved in and support, so our projects are not all-or-nothing deals. Together, the CIC libraries are working to establish the research library of tomorrow, a future that cannot yet be defined. But it does seem clear that the foundation will lie in networked access to and collaborative development of data and digital information, of both traditional and digital resources, through shared decision making and collaborative action.

Our university libraries are engaged in activities that cover those areas. In short, this future will engage our universities in interdependent relationships, some of them driven by or supported by technology, but all of them founded upon a deep and abiding level of inter-institutional commitment to meeting faculty and student research needs.

In the brief time allotted to me it's not possible to go back and review all of the many excellent reasons for starting the CIC back in 1958, but I can review for you those opportunities that I have seen our library staff and, indeed, our faculty and administrative groups identify time and again in their work. The first of these opportunities is to enhance user service, whether it's the library user, the students, or an administrator using the information. That's the first and foremost opportunity presented.

Second, there is the opportunity to leverage investments in personnel, in resources—for instance, the same energy that is required to serve up one data resource can be used to serve the data to many people, saving efforts, if not money. Thirdly, there is an opportunity to manage change proactively. In our case, at each step on the university food chain, starting with the president, there is a great demand for change of one kind or another. I am sure you feel these pressures, professionally and personally, as well. Within the CIC, I often hear discussions where people turn and say, "How can we use the CIC and our partnership with respect to this particular change or to respond to this particular change?" Collaboration allows one, I have seen, to participate in a group examination of opportunities and challenges, and offers a way to address those in a fairly safe environment.

Finally, there is the opportunity to experience professional development. This is, I feel, one of the most important opportunities presented, as it allows experimentation and exploration, often, again, in a safe environment with peers, people who otherwise would be your subordinates, superiors, etc. It takes the participants out of their own organization and puts them on a different level of thinking—outside the constraints of a particular environment, particular budget, and particular staff.

Now, behind every good opportunity there lurks many challenges, and in my work I have found that people are very happy to share with me what those challenges are. I've been in meetings where we have filled pages upon pages with lists of challenges, but these, as far as I can see, can be narrowed down to just a few that you should be aware of as you think about collaboration and developing consortium.

First, there is the need to identify and articulate a clear vision. But this task can be enormously difficult. You didn't become the directors of, in this case, research libraries by being shy and retiring. Blending the needs, desires, goals, and personalities of a diverse group of strong-willed individuals is very challenging. In fact, at every level of library staff, this is the case. Blending these together requires tremendous energy, will, and persuasiveness, not necessarily from the consortium headquarters, mind you, but from everybody in the chain of the decision-making. Each person must understand what it is they want to get out of the consortium. The members of the consortium must clearly understand and articulate their visions so that the collaborative effort supports those local needs or so that they can guide the collaborative efforts in a way that is more productive for them. Consortia may, and do, develop for many reasons. As a member, it's incumbent upon you to use the consortium to your advantage and help change the consortium's course so that it meets your needs. As directors and leaders of consortia, we have to remain flexible and adaptable and avoid suggesting monolithic approaches to problems that are enormously complex. This whole environment, then, can appear very chaotic because you have to be very agile and respond very quickly to problems, challenges, and changes. Finally, if you get this vision and juggle all of the partners successfully, you have to continually keep the momentum going. You have to seek new and better ways of working together to meet, for instance, the needs of information users.

Through trial and error and, in fact, through momentous achievement and dismal failure, we have established what I think are commonly held, but not necessarily codified, principles that govern our work together in the CIC. I will share these with you, I hope for your edification, if not amusement. I want to thank my good friend and colleague, Bill Gosling, who worked with me long and hard on a soon to be published article on the guiding principles that we looked to and that, I think, cause us to be successful.[1] These principles are, then, first, that every partner in the enterprise must perceive some benefit from cooperation. That doesn't necessarily mean that everybody gets something every time; there simply has to be a perceived benefit at some level. Second, a central administration is a visible symbol of inter-institutional commitment, vision, and action. I have worked in a number of consortia, and know this to be a very important point. Whether the central administration is housed in one of your libraries and is made up of part of your staff or not, it is certainly essential. Someone has to be accountable and responsible for moving projects along. It just makes good sense. Third, the focus has to be on enhanced access to and delivery of the right information to the users. Otherwise, there is really no reason to be engaged in the project. Fourth, all of the programs you develop have to allow for varying levels of participation. For example, Ohio State University Library has many obligations and opportunities in OhioLINK that supercede participation in particular CIC programs, and that's okay. I would encourage you to follow the same path.

Fifth, a trusted peer relationship is an essential. The human interaction that takes place cannot be overstated as an important factor in developing strong good relationships.

Sixth, there has to be accountability. In our case, the provosts and presidents want to know what we're doing. Good communication is essential at every step of the way. I have to communicate well and strongly with the library directors, and they must do the same with me. We have to interpret things and communicate with staffs in libraries that have external partners. And, finally, face-to-face interaction is a necessary and vital component of any collaborative effort.

To the extent that we are successful, and I believe there are many areas in which we are, there are some very apparent and obvious reasons. First, our consortial vision is larger than the individual activities. That is, if one of our activities fails, the consortium itself does not fail.

Two, the CIC members have support for collaborative ventures from the highest levels of our university administration. Three, our universities are true peer institutions.

Four, ours is a truly federated model of collaboration in which each partner determines to what extent and in how much depth they will participate in any particular venture.

Finally, and obviously, we are successful due to the richness and depth of our human resources. I can't tell you how energizing it is to be in a meeting with our member librarians, people with wonderful ideas whom I have admired and respected for years.

We truly believe that collaboration can transform the way we serve the research and scholarly community. In the CIC, we hope to validate that belief and provide the greatest educational experience possible for our students and the strongest research facilities possible for our faculty and staff. I urge you to do the same.

Thank you very much.

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[1] Barbara McFadden Allen, and William Gosling, "Facing Change and Challenge Through Collaborative Action: The CIC Libraries' Experience," in *Restructuring Academic Libraries: Organizational Development in the Wake of Technological Change*, Ed. Charles A. Schwartz (Chicago: Association of College and Research Libraries, 1997).

CONSORTIA:
A TOOL FOR BUILDING A KNOWLEDGE COMMONS

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Thank you very much. It is a pleasure to be here.

There are three components to my presentation. The first is to give you a bit of context. When people think of the University of California and library automation within UC's nine campuses, I think we have presented a fairly strong, unified face to the world over the years. In the last few years, because of many pressures on us, the same kinds of pressures you have all come across, the context within which we operate and how we will proceed in the future has been changing significantly.

Within that context, I have had some experience in the university with respect to licensing, and, although I will talk more about that later, I do want to tell you right now that I don't think there is a long-term future to licensing. The critical message I want to get across to you this afternoon is what we need to do beyond licensing. We are in a period of transition, a transition that is so difficult that I am sure I'm not the only one here who has had sleepless nights worrying about it. It is a transition that I feel a bit more comfortable understanding than I did a few years ago, in the sense that the future doesn't seem quite as fuzzy as it was, but still, it is a time of uncertainty.

Creating consortia is a critical strategy for us to employ as we move through this period of uncertainty. It is also a time for leadership, and leading our organizations is something very different than it has been in the past. This transition can be expressed in many ways. We are moving from a mixture of paper-based physical resources to network-based resources. These will coexist. Depending upon your academic discipline, the dividing line will be in different places.

We are moving from a traditional ARL model, a building and collection model that deals with ownership questions, to a service model, and, particularly as I listened to Bill Potter talk about these issues, it seems to me that that consortium can certainly move very quickly and very aggressively towards that new model.

As we move through this transition, we face a number of challenges. The first is the transformation of scholarly communication. If we don't integrate that challenge into our daily work, our activities, and organizational goals, then we won't be able to successfully meet that challenge. The other challenge is, in some respects, a funding and economic issue. There will be economic forces that will continue to drive us in very different directions. That certainly has happened in California. We would not have begun moving in the direction we are if there hadn't been such strong economic forces pushing us.

Let me give you some background as to how we got where we are at this point in time. In 1995, the nine UC librarians began to plan for a digital library. We felt that, while we had the Melvyl system and our own local catalogs, we were falling behind the rest of the country and needed to position ourselves strategically both for new opportunities and to better serve the citizens of California.

So we spent a year planning for a digital library. One of the most important things we learned during that process was that it was impossible for us to create a plan without reviewing the entire library system. The campuses, at the presidential and chancellor level, initiated a library planning and action initiative to help form a new plan for the University of California libraries.

You are probably all familiar with the fact that, at that time, we were working with a plan that had been created in 1977. It's not too difficult to realize that something created in 1977 wasn't going to serve us very well in 1997. The new initiative is currently underway. Absolutely critical to everything we do is the notion that this is not only a planning initiative, it is also an action initiative; we need to do things, and then, indeed, we plan by doing, we learn by doing, we also make mistakes by doing.

There have been a number of leadership goals in this planning process, and I would like to particularly highlight the notion of a shared vision. Coming out of this process is a new shared vision for the UC libraries, a vision of what I would call information space complementing information place. We're not getting rid of the paper. That's no news to you, but we certainly had to make sure that our faculty understood that. But not only are we not getting rid of it, what's absolutely critical is that as we begin to design the digital components is that we design them to be integrated with the more traditional components, so that the two are complementary.

Out of this process a shared vision of function has emerged. Our collection, storage, preservation, and information transfer and delivery functions are intact. Education and training is growing ever more important, not just in the sense of teaching people how to use systems and information, but informatics-based training at an academic level where our own librarians work much more closely with faculty than we have in the past.

The last role that we see for this library of shared vision is knowledge management, something which, some of you may know, I have talked about for three years. Focusing on knowledge management is absolutely critical to remaining an integral part of the academic enterprise.

The UC libraries have always been a consortium, in a way. We have never thought of ourselves in that way—we are just there by nature of who we are and the fact that we all belong to one university system. From our 1977 library plan, what held that organic UC consortium together was the notion of one university, one library, and so we tried various kinds of cooperation to create one library to serve one university, such as in collection development, with common policies, and via shared systems like Melvyl. Very interestingly, when we talk, especially to senior level administrators, about this notion of one university, one library, they say, "That's really the wrong way to go in the future. We are no longer one university. We are many universities, nine of them, in fact." When we talk about many universities, one library doesn't necessarily make a lot of sense. So what is emerging out of this planning process is that the nine libraries are really a consortium to create what we call a "knowledge commons." That terminology is important to us because it has some economic basis, and so many of the problems that we are trying to solve are economically rooted.

What makes up this knowledge commons? Well, I would say four things, and these are still emerging. Not all of my UC university librarian colleagues might agree with this yet; it hasn't been through all phases of consensus. Certainly, robust campus collections will continue to support local academic programs; second, distributed specialized collections, which will then be shared. One thing we have agreed on, without any question, is the shared digital collection. The second thing that I believe we are quickly agreeing to is the notion of the library supporting what I will call alternative forms of scholarly communication.

So, one thing that has come out of this planning process is what we now call the California Digital Library. Our president likes to refer it to as a cyber-library, and without his support we wouldn't have gotten to where we are. This California Digital Library is a library with no limits in the sense both of what we have access to with respect to digital resources and in the fact that we make this available beyond the UC campuses to the citizens of California.

What are our strategies to realize this vision? Beginning this summer, we plan to recruit for the California Digital Library a new university librarian. Through the planning process we have been calling

the digital library a co-library, in the sense that it has co-equal status, if you will, with the other nine libraries, and it will be a collaborative venture of all of the nine campuses.

In order to create this digital library, we will first build collections, and we expect services to continue to be offered in a very distributed way at the campus level. We have identified the first collection as a science, technology, and industry collection, because it's important to the university, but more importantly, in order to sell it to the state for new funding. What we have been able to document within the university is the enormous economic impact that we have on the state of California and its economy through science. So the digital library, in many respects, will follow the political needs and interests as they are presented to us.

Another strategy for realization includes consortia that are forming. One of the points I want to make about consortia is, if they are going to be successful in the future, they need to include more than just libraries. If libraries are interested in collections and providing access to collections in the digital world, there needs to be the realization that many of the valuable collections are outside the scope of libraries.

We would like to support what we call the Library of California Network. There is legislation that is now pending before the Assembly that would create a network of California libraries without jurisdictional barriers, allowing us to better share collections. The University of California sees itself as providing the digital component to that and is willing to take that leadership role upon request of the legislature and other state figures.

We also have some very practical strategies: to license content and to assess and experiment with infrastructure needs for new forms of scholarship. I've been asked to speak about digital licensing negotiations within the context of the California Digital Library. When we started, publishers, in my opinion, had a certain myopic perspective. They wanted not only to preserve their current revenue, but they wanted to enhance it. An annual increase in income of 49.8% was insufficient for Elsevier. They wanted the money they had been getting for paper-versions, and they wanted additional payment for electronic materials; I think the first proposal that I received from Elsevier was somewhere around 140 percent for both.

Annual increases include not only inflation, but significant business development. They wanted us to pay, on an annual basis, not only their normal inflationary costs, but we, as their primary customers, were to provide venture capital, I believe, for that growth. They would provide us some consortium discounting, but really only on a limited basis. They wanted the first-copy costs to be covered by libraries, and all of their technology investments subsidized, I believe, to a great extent by ARL and other research libraries.

Our perspective was a little different in entering those negotiations. We wanted paper and electronic versions uncoupled. We expected electronic versions at a lower price than their paper counterparts. We wanted a set of common rights for all publishers; we didn't want our faculty and students to have to distinguish between use allowances for various titles. We expected the consumer price index (CPI) to be used as the benchmark for annual price inflation. We expected their annual growth to be their own business expense and not our venture capital expense. We hoped that we would be able to leverage our purchasing power. After all, in our own view, we are the University of California, and we expect to, with our tremendous purchasing power, get benefits from that.

We hope for a new model for first-copy costs, that they would be shared eventually by what I call non-affiliated users of our collections. Thirty-five percent of the collection's use is by non-UC people, yet the University of California subsidized the first-copy cost for all of those people. Many of those users can afford to help pay part of those first-copy costs, such as users from business and industry. We also wanted to deal with the long-term archiving provisions within the licenses; that has been an interesting journey.

What are the outcomes of these discussions of varying perspectives? Multi-year licenses; there are pros and cons to those. We were successful in getting electronic journals at a lower cost than paper journals

from many publishers. Some publishers have been agreeable to using the CPI as the benchmark for annual price inflation, and some have been agreeable to some annual growth as a business expense, but we have not made significant progress in either of those areas. There has been a bit of moderation of price increases, but it still approaches double-digit growth.

There is a growing recognition of the significance of the archiving challenge in what I will call acceptable rights, but publishers still have restrictions on content use. Originally, many of the publishers said to us, "We'll archive the material. We'll take on that role. We'll provide you with access in perpetuity." Then they started saying, "You know, it costs money to archive," and, "We can't do that. We can't afford that. That's your role." Then some of them said, "Well, we might do that, but, of course, that will cost you extra." Others even say, "Why are you worried about electronic archiving? You have paper." A lot of progress still needs to be made.

What benefit has there been in going through this licensing process and negotiations? There are benefits at both the product and process level. We are able to get large collections of electronic journals to learn from. We have to learn, we have to set up fairly large-scale experiments that are operational and production in nature so we can further plan. We do have some cost control, and what I call a diversification on the battlefront. ARL has been very good in fighting for us on the copyright front, and I look forward to ARL continuing in that role, on a national and international level. I also believe we can be very effective in the license negotiation process as well; I have observed how publishers have learned a lot about us from this process, and we have learned a lot about them. We realize that we both—libraries and publishers—have complex issues to deal with in this transition, and we are more willing to work together in ways that are acceptable to both of us. One primary benefit of licensing, then, is that it has established a process and structure for mutual learning and a potential for future collaboration. I am not so sure publishers, at least society publishers, shouldn't be an integral part of any consortia that we form in the future.

What do I think the future of licensing is? Well, I think it's a useful transitional strategy. Beyond that, I can't say. Do I think it will solve our problems? No; there are legitimate concerns about scaling and its future viability. Right now, we are negotiating with a couple dozen publishers; do we really want to continue negotiating with them all on an annual basis or every three years? In the UC planning process the goal is to secure the future viability of the UC libraries, and I can tell you licensing won't do it. It doesn't solve the fundamental structural problems of how scholarship and science currently progress in the paper world.

Licensing is a creative, practical innovation. Some of the first people who did licenses are attempting to further innovate, which may be useful to us, but innovations in and of themselves don't necessarily help us transform what we're trying to do. What we really need to consider is consortia for digital scholarship, although in some respects I worry about saying so before this group after all of the discussions you have been through on things that have a similar flavor, like IScAN and the Red Sage project. One of the most interesting things I learned from the Red Sage project was that it took at least 25 years for the technology AT&T develops to be put into practice and be useful and profitable. So if we are going to do something about how we organize scholarship, there has to be the understanding that we may have to work at it for 25 years before it becomes institutionalized, and we have to be very careful not to get discouraged.

The strategic goal for such consortia would be to transform scholarly communication through leveraging a unifying technology investment, one that will allow us to unify the work of our scholars and scientists in many different ways.

We don't have time today to develop these ideas any further, but the point I want to make is that as we focus on knowledge access through licensing and consortia what is critical is a focus on the knowledge *generation* aspect of the role we play in science and scholarship and how the library might apply digital technologies to transform the underlying processes to be more sustainable. Thank you.

ARL TOWN MEETING

ORGANIZATIONAL ARRANGEMENTS FOR SHARED DIGITAL COLLECTIONS

Douglas Bennett, Vice President
American Council of Learned Societies

I want to give you a homely image of what I'm going to do here. Spike Lee sits courtside at Knicks home games, and he doesn't know very much about basketball, but he is passionate about it. And he comes into halftime of a Knicks game saying, "We've had a great first half. We're playing well, and we're losing. We're losing."

I want to start with two premises, which we can argue about, but they seem pretty plain to me. The first is that we all know that the current model for building libraries, the model we have been working with for 100 years, is one based on self-reliance, and is one that won't work in the future. The second premise is that we all know that digital networks open the door to shared information environments. Therefore, it seems clear that we must make use of shared digital networks. We can, but we aren't or we're not doing so nearly as much as we ought to be.

I really want to get us focusing our attention on the question, What is our picture of the organizational arrangements for a shared digital future? At the moment, we are saying we want to move on in this direction, but we are allowing entrepreneurship on the part of some actors to shape our future. Just stop and think about that: We are risking winding up in the same place that we wound up in when we let the world of journals be shaped by entrepreneurship.

I don't mean to be making a case here that we ought to have some huge plan to execute. I think we will get to the future with a lot of little initiatives, but we do need a picture of where we want to go. But, for the life of me, I don't see it yet, so maybe we can figure out what it looks like together.

In working out a solution to this problem, there are three sides that must be considered: technology, copyright, and organization. We have to understand what the technology can do instead of just being dazzled by it. We are largely consumers of the technology—not many of us are masters of it—so we read something new in the paper and say, "Wow, they can do that, too?" We all know that understanding the technology is part of the solution.

We also have come to understand that copyright is part of the solution, and I think we all know that organizational arrangements are part of the future solution. The odd thing about the organizational arrangements is that they are the solution we are looking at least, yet, even though it is the one most under our control and what we understand most, we really aren't bringing our expertise with regard to organizational arrangements to bear. I think it's because we're a little knocked back on our heels by the technology and copyright issues that are confusing and difficult in other kinds of way. I have come to think that we will know where we want to go with copyright issues when we begin to have a clearer picture of the organizational arrangement we want to oversee, so we'll know what it is we want to promote. Once we have a picture of an organizational arrangement we will be able to know what technology we'll need, and we will be able to relay that information to the programmers.

There are—and everybody would have a slightly different list—five kinds of candidate organizations for solving this problem:

- Library utilities
- National libraries
- New sharing intermediaries
- Library consortia
- Publishers' consortia

Let me tell you what I mean by solving this problem.

I think we need to have shared digital collections. We need sharing intermediaries. We need organizations that sit between the individual libraries that serve users and the sources of digital information that organize it in some way. I don't think it will work when each individual library tries to relate to several hundred or several thousands information providers. Somebody has to organize the material for us.

Now, I will say in a little bit what I think some of those challenges for organizing are, but we need sharing intermediaries, and these five are the kind of sharing intermediaries on which we may rely. I don't think we will be choosing just one, either; I think we will wind up with all of them. But we have to ask, What kind of role do we want each of these to play? With each of those, let me say a word and give an example or two with regard to where it fits in the future.

Take library utilities, such as OCLC and RLG. We could say, "Let's bet the farm on those two." But is that enough? Can we really expect any two entities, no matter how clever, thoughtful, etc., to really do everything we want to do? Clearly, they will be part of the solution, but how much of the solution will they be?

There are some national libraries we might wheel into this task: the Library of Congress or the Center for Research Libraries. I have joined the board for the Center of Research Libraries, and I am pretty intrigued about the fact that the Center is a national organization created by us for sharing materials. It hasn't done much in the way of sharing digital material, but, if we've solved the organizational problem with regard to one such entity, I wonder whether we shouldn't do more of that down that road? You all know the Library of Congress better than I do; the question is, will they anticipate the challenge? Will we ask that they accept the challenge, or even insist that they accept the challenge to be part of the solution for organizational arrangements for shared digital collections?

We also have some new sharing intermediaries, JSTOR and AMICO. There are others, but not very many. One of the lessons I've drawn from watching JSTOR is that it takes a fair commitment of new investable resources to create such an intermediary. JSTOR and AMICO have had foundations to step up and do that. There aren't very many other foundations that will do that. I think these sharing intermediaries are up to exactly the right kinds of things, but will we have more?

We talked about library consortia yesterday, and I think we're doing a lot of very good things with those. My question with library consortia is, What do they do best? I'm not sure—just a word of doubt here—that they really serve this need on a national or international scale best, for many reasons. They do many good things, but I don't think they will be the central players in organizational arrangements for shared digital collections. For instance, I wonder if we could create a consortium that was national and multi-type. We are creating statewide consortia that are multi-type. But the national—or at least regional—consortia are just research universities. We're not anywhere out of the block to creating such an entity that could do be both multi-type and national.

Lastly, there are some publishers consortia, such as Highwire and Project Muse. The questions with regard to any publisher entity entering into this are, Will they respect library values? Will they be able to deal with the archiving problem? Will they step up to those kind of questions?

Anytime we talk about forming national sharing intermediaries or transforming an existing one, there arise simple organizational questions that would apply to any other organization. Where will the financing come from? Where is the base investable resource going to come from?

It's important that these sharing intermediaries be governed in a way so we can trust them to respect the values that we may need to be respected. We need to think about the governance arrangements, service strategies, about business plans. What kinds of users will be reached? What are the fields of coverage? Do we want these intermediaries to cover a wide array of fields, or do we want different ones covering different fields? After all, issues are different in art history than they are in chemistry. What are the terms of access? Are there site licenses? Pay-per-view?

We're doing many things at the large universities, but there are thousands of universities and colleges in the United States. Are we doing anything that really draws the users and the possible financial base of community colleges into the mix, for example?

Once we consider the whole scope of the thing, there are system issues, too, of course. What would copyright arrangements for a network or a family of digital sharing intermediaries look like? What kind of overlap would we want? Do we want several intermediaries with different kinds of service strategies? I am inclined to think maybe a little competition would be a good thing in this world.

Further, we have a scholarly world where there is a huge rupture between the world of science technology/math on the one hand and humanities and social science on the other. Do we want to replicate that in the digital environment? How are we going to serve K-12 and adult continuing education? And what about the rest of the world; how will we relate to them? We must find out if there is anything we could do to serve them, as well as find out what they do well that could serve us.

Then we must consider the underlying values. The first of these is standards. By standards, I mean the ability to have one digital collection relate to another one, to ensure some degree of technical inter-communication that works.

The second is a respect for quality. There will need to be peer review or some similar process in place that makes sure that what we're sharing is worth sharing and can be relied upon.

Then there are: academic freedom; a strategy for knowledge organization; preservation; and, naturally, access. I have also included the value for teaching and learning; there are some issues about how to educate people. For instance, will we allow for a future that is open to interdisciplinary inquiry, and how will internationalization take place? These are current trends that we are seeing in education, and we want to ensure that we are a supportive part of them in the way in which we provide for shared digital collections. Other trends to address are interactive learning and collaboration in interactive learning.

Now that we have some questions before us, I would like to open up the floor to you. What do you hope to do with regard to shared digital collections? What does your future look like? How do we get there?

MR. NEAL (Johns Hopkins University): I think there are two values that you need to add. The first value is fair use and the second is affordability.

MR. SCOTT BENNETT (Yale University): I want to start off with your subject matter, shared digital collections. What we know most clearly is that, if we're going to share anything, we have to own it, and, for the most part, there is a disconnection as regards shared and digital. I'm not sure how we can bridge that disconnection. Converting what we already own to digital format doesn't seem do it.

I was really struck by your second slide, where you wrote, "We must... We can... But we aren't...." It prompted me to think about who the "we" is. Doug, I'm afraid I disagree about your development of that "we." Your list consisted mostly of libraries and library organizations. We're part of it, but the critical leaders here are universities and learned societies, and the activity that is fundamental to your topic is figuring out who gets tenure and who doesn't, who gets promoted, who gets research funds. There is a whole credentialing enterprise here that is key and one that we're not much touching. We ought to have a different list to define who "we" is, and then figure out how libraries relate to that set of key persons. Until the libraries can help that group, the key players with the investment in digital collections, I'm afraid we will be stuck where we are.

So the critical question for me is, how can we libraries start functioning much more effectively to help our institutions and learned societies deal with this question of credentialing?

MR. BENNETT: I agree 100 percent. Regarding the credentialing question, I believe the problem, narrowly, will solve itself quickly—that is to say, the university world will embrace things that are published digitally. Maybe you want the credentialing question wider than that, and so about the larger point you made, I agree entirely. We're having this conversation in front of the wrong bunch of people.

MR. MOSHER (University of Pennsylvania): I agree with Scott, too. There are a number of things I want to comment on. One is, we are in it, it's happening, we can't start it because it's already underway. Some process, true, will continue. What should we do about that? Control is not the issue. One thing that you left out is content, and a key to all of this is deciding which are the things that need doing, and which are the resources that people need. Capture a few of those, then find leadership and partnership that will encourage investment to take place. It is the creators, the providers, that need to get together to talk about this, and that, again, is what scholars care about.

You heard that not only is there the will, but we also have some money, and there are means that are available if we can form those partnerships in a few instances, even to begin it and cause it to happen in the same way that the two publishers you mentioned already have.

MR. GHERMAN (Vanderbilt University): Going back to what Scott was saying: if you look at that statement in the context of copyright, what we currently have is the technology of the printing press, the technology to print on paper. Copyright follows from that because it is directly linked to it, as are the organizations that we all run.

When we move into the digital arena, it's a different technology, and I would say that copyright no longer applies to that form. You are right that the organization no longer applies. There is a fourth value system that was built around that technology and that copyright issue: tenure, promotion, and job security. Until we look at the system as a whole, it will be hard to see what that new organization is.

I have started to approach it—not organizationally so much as in terms of the budget. I look at my library, and I see that we spend 34 percent of our budget to buy information, and the rest of it goes into infrastructure. What I need to do is take this shared digital concept and create a higher percentage of information and a lower percentage of infrastructure. The more I can do so, the better I move my organization as a whole towards that aim. So, in small steps, if I can put in an electronic reserve system and get rid of the current reserve operation, I have taken a step towards now spending that money on information. This doesn't talk about the shared part of digital collections, but I think those are the things we have to afford because, there again, they are tied to the value system. We're faculty, but we're at the end of the whole chain.

MR. BENNETT: So the problem isn't solvable in this room?

MS. BAKER (Washington University, St. Louis): I will take a slightly different tack. I have been listening to a lot of discussions about digital archiving recently, and one of the conclusions that seems to

hold and that some of our provosts, chancellors, and presidents understand is that archiving is something that the libraries will do; it is what we've always done, and we certainly have never been able to trust the publishers even to keep back issues, much less to archive their materials.

From my perspective, you are pointing out that organization is an important part of this, and that we might address that is very accurate. The technology is not the problem. One of the things we do well as libraries is organize ourselves to do collectively what we can't do alone. We've done that with OCLC, RLG, CRL, and with ARL. We should look carefully and modify our organizations to help us solve these issues.

MR. BENNETT: Here's another way of stating it. I think what a number of you are saying is that part of the problem and yet part of the solution is that the library world has the ability to cooperate in what we are talking about, but that ability isn't among the universities or scholars. The only part of the system that has figured out how to cooperate are the libraries. Yet, you are saying that libraries alone can't do the cooperating that will solve this problem.

MR. GHERMAN: We can do the cooperating. We couldn't do the creating.

MS. BAKER: I think there are two things we can't do and that our universities can do at the highest level. There are things we might look to the AAU group to do, for example. One is to decouple credentialing and publication, and the other is to address the copyright issues, the intellectual property issues, and move faculty and university staff toward not giving away exclusive copyrights, but perhaps working with partial ones instead. Those are things that the university has to do.

MS. KAUFMAN (University of Tennessee-Nashville): What universities need to do—and we need to help them—is to reshape the lead. We're prime examples of organizations that share our resources. Our universities look to us as their example, but not as their active model. Perhaps we need to find a way to move us into the model/leadership role. Rather than sitting around saying, "Well, it's up to them to do this," we have to find a way to create a new NBA, or whatever we would call it, so Spike understands his half-time differently.

MS. TAYLOR (Brown University): As someone who has been on a number of accreditation boards at other institutions and who, like many us here, sits in forum at my own institution where I listen to faculty, deans, and provosts argue heatedly about the issue of the day, I am often struck by how few things you can get people from different disciplines to agree on. One issue, for instance, that is creating a lot of furious debate on many campuses now is how to evaluate teaching. Many accreditation agencies are now asking for proof that you really are doing what you say you can do. I was recently at an institution where the faculty is literally at war about whether there can even be a standard way to evaluate teaching across many different disciplines.

It seems to me we haven't yet managed to get our presidents, provosts, and faculty arguing heatedly about how to solve this issue with that same kind of passion. We need to find a way to get them to do that. We need to get to them to a point where, when some sort of publication comes in on this topic it isn't immediately sent to the library because it is a "library problem." We have to get people really engaged.

MR. BISHOP (Northwestern University): I think that there is a difference here between the ongoing problem and the archiving problem; I am particularly interested in the archiving aspect of it. When you think back to the way we have historically managed our archiving, in kind of an unstructured way, it is partly because our value system as upheld through things like the ARL index that encourages us to keep things. Unless there are space problems, it's cheaper to leave it on the shelves than it is to remove it. That is true for much of what we have done.

With electronic archives, we have the opposite case. With a simple zap, we can get rid of extraordinary amounts of information. We need to focus on the archiving. We need to figure out what kinds

of structures we can adopt, either collectively or centrally, that will do away with this problem that we will otherwise have. The disregard for the archiving of some electronic government information has already occurred.

The other big problem, from my standpoint, is that the technology is changing so quickly that collective archiving is economically not feasible today. Maybe there will come a time in the future when we will all have the collective archiving in our organizations because it will be so cheap to produce. So we must devise a system that will evolve through all kinds of technological changes.

MR. KOBULNICKY (University of Connecticut): Ronald Heifetz, in his book *Leadership Without Easy Answers* (Cambridge, MA: Belknap Press, 1994), put forward an interesting case study of President Johnson and the civil rights activities in Alabama. He pointed out that during the Montgomery march Johnson refused to do anything until Governor Wallace came and told him, "You have to act." The situation is very similar here. We have provided, fortunately or unfortunately—I think perhaps a little more unfortunately—solutions that have kept the problem from ripening as quickly as we would like it to, to reaching the point where the faculty will feel the need to come to us and say, "You need to act."

I don't know what to do now. I think we could keep talking, but I'm inclined to be one who uses the realities of my budget to help the problem ripen.

MS. BUTLER (State University of New York-Albany): I also want to emphasize the issue of digital archiving. It's very difficult to think about organizing an effort on a national and international scale that would really develop shared digital collections without first solving the digital archiving problem. Unless we can guarantee preservation, we can't focus on access, because then the question becomes: Access for how long? On one of your overheads you had the issue of financing. We can't be naive about this. I don't think the technology is, in fact, there, and it always disturbs me when everyone says, "Well, technology isn't the problem. The problem is something else." We're talking about enormous and continual investments in technology, and I don't think any one organization in this room, even if it has total commitment from its administration and faculty, really has the kind of financing necessary to make that investment. Collectively, not as libraries, but as institutions, we may. So, although I do believe the organizational issues that you raise are very relevant and very critical, until we look at the financing issue we can't really solve the organizational issues.

MR. BENNETT: I guess that's why Internet2 is so much on my mind. I am stunned that fairly large sums of money will be unleashed there, and yet we don't have a clear picture of where the money might come from to create the organizational fabric that we all know we need and would do incredibly good things.

MR. FRAZIER (University of Wisconsin): That's exactly what I want to return to as an issue. How is it that my university is prepared already, with the limited amount of information we have about Internet2, to commit millions of dollars to it? I think part of the answer is that we're confident we can build Internet2. Yet I'm confident we can build a new model for the scholarly communication process. We know enough. We certainly know as much about how to approach that problem as we do Internet2. It comes down to amassing the money—people to commit in principle, finding the dollars to start building models and using them, making them work.

MR. BENNETT: There are a lot of good fund-raisers in this room, and one thing you all know is that vision raises money. Without a vision, nobody will put money on the table; I'm just not sure we have that vision or confidence.

MS. BENGTSON (University of Washington): I need to disagree with Ken. I think the Internet2 problem or issue is a technology problem, whereas the issue we're talking about is really a people problem. It involves changing habits and ways of doing things, so it is much more difficult.

MR. BENNETT: I am inclined to agree with that. That is why I believe that what RLG is doing with archives, from the standpoint of scholars, is one of the most remarkable things about to be unleashed. It will provide the ability to put a very large amount of special collection materials in archives and copyright problems will actually go away. Scholarly materials that nobody could get at or that couldn't be found will suddenly be available. There we have a picture and know where we're going.

MR. STUDER (Ohio State University): This is a question based on your sensitivity and knowledge of the ACLS community and the scholars they represent. The decoupling issue Shirley Baker mentioned came out of a conference in California this past March. How real do you think that could be as a new model with scholars, that is, the decoupling of the certification process from publication? The hypothesis presented was that ACLS would take on that obligation of certification. The faculty member would be satisfied that certification occurred, and publication would then become a different issue.

MR. BENNETT: That's a good question; I can't be terribly optimistic about that model. There are two things you ought to know about learned societies. Learned societies have a big role to play, bigger than they now imagine they're playing, but they are financially extremely fragile institutions—with the possible exception of those in the sciences, which are really more like publishers than they are like learned societies.

Secondly—this is the key point you all need to understand—their value system is deeply schizophrenic. On the one hand, they believe in quality, in the promotion of the best work that is being produced, but as organizations they work on a deeply egalitarian basis. For the most part, they are extremely wary of getting into the business beyond giving an annual award to the very best book or the best career. They do not like to make those judgments, and it would be a huge change to get them to behave differently; they have off-loaded that problem elsewhere, given it to the universities to solve. So, you are right, there is a problem there, but I'm not sure the learned societies can solve it. However, I do think the societies can solve a lot of the quality control problems now, not with regard to people, but with regard to pieces of work.

MR. STUDER: The other part of this hypothetical model, which I forgot to mention, is an assumption that, as it would cost something for the societies to do this in the qualitative way it needs to be done, there would therefore have to be a pre-publication payment, which would be paid on behalf of the scholars by their institutions. It would take the place, in some sense, of per-page charges, and it recognizes that editors have to be reimbursed for expenses. The university's retention of this new model would allow the scholar to feel that the certification had occurred for purposes of tenure and promotion and it would also allow scholars to more easily pursue publication in alternative venues, digital ones, for instance, because they won't make money from their publication anyway.

MR. VAUGHN (Association of American Universities): First of all, I'd like to address Merrily Taylor's comment about the need for presidents to stop bucking the stuff they should be reading to the librarians. I mentioned yesterday that I do believe that presidents are becoming aware that they need to get a deeper understanding of this. A specific example comes from our April AAU meeting with presidents and chancellors, when we had a series of sessions on this set of issues in order to get the membership to give their views regarding what Gerhard Casper's committee should focus on. One of the presidents said, "We need professional education." We need Casper's committee to try to think about how to frame the issues in ways they can start understanding.

There may be things you can do on your campus, as well. You can try to resist having these issues solely diverted to yourself, and can try to focus on the things we have discussed and engage your provosts, deal with them directly.

The comment that you and others made, Doug, that librarians cooperate but universities compete, is true. But it was Paul Peters who first pointed out to me that we do have mechanisms—one is somewhat ignominious, the NCAA—by which universities have figured out how to cooperate and compete. Some of

our presidents have been talking about developing a similar mechanism—building some kind of corporate entity that would work on the universities' behalf to develop cooperative strategies. Now, it is true that the presidents have, in fact, focused more on networking issues than on intellectual property. As Ken said, many of our universities have quickly committed $500,000 start-up money plus have dedicated time to Internet2. But that is something you can see; it is a structure, a bunch of computer networks. It is much more difficult to get a handle on the intellectual property issues. As Betty said, they do involve people issues and organizational issues, and I have watched the presidents try to struggle with those. Faculty publishing is also involved, but there is, I believe, some progress on that.

Chuck Phelps, of Rochester, is one of the provosts who is a member of Gerhard's AAU committee. At a meeting at Cal Tech, Steve Koonin, who is another provost member, spoke about scholarly publishing. Phelps, at lunch, came up with this idea of decoupling credentialing from publishing. He has now written on this (see <http://www.econ.rochester.edu/Faculty/PhelpsPapers/Phelps_paper.html>).

There are some problems with it, but we are going to get Phelps; Hal Varian, who presented a similar notion at a Mellon Foundation meeting held at Emory (see <http://www.arl.org/scomm/scat/varian.html>); and Jane Ginsburg, who has an idea that has some similar elements, and bring them together to work on decoupling this process, which is now sort of linear, going from research, to getting published, to putting it in archival form. Trying to disaggregate that extraordinarily complex set of issues into some chunks that can be presented in a fairly concrete form is important.

MS. BAKER: I agree that our senior administrators will have a hard time getting their hands on the intellectual property issues, and there we have a real role to play. I find it encouraging that representatives from this group—Jim Neal, Peter Lyman—are on some of these AAU committees. They are people who really have a grasp of the issues and can help with needed tutorials.

MR. LEINBACH (Tulane University): I want to state in the strongest terms possible that it really is the faculty who do not see this problem yet. At Tulane I have had to cut serials three times. There have been some complaints, but, really, they adjusted to it, accepted it, and all they do is ask the provost to give them more money to restore the titles. Of course, there was a little groaning, but they do not see this yet as a real issue.

I just want to reemphasize what others have said. It's really the faculty that we have to reach, whether it's through the AAUP, the scholarly societies, or working with them on campus.

MR. HAKA (Michigan State University): I would agree with that. On the other hand, I can't say that I think working through the faculty will be effective unless we go to them with more information. And this leads me back to an endorsement of Ken's idea that we put up some money and say, "Here are some direct alternatives to what is out there now." Otherwise, I just don't think educating the faculty will work. I have to be skeptical.

MR. BENNETT: I was struck by a *Chronicle* article on Highwire at the rapid increase in submissions to a Highwire journal—I forget which one it was—the minute it went online, and I have a feeling we may change the behavior of scholars to the degree that we put some objects in front of them, they look at it and say, "Wow, this does good things for me."

Even the credentialing stuff will not completely block that. My God, everybody can read this stuff. That's fabulous! In the late 19th century our operating entities were local, but we now need to create national operating entities. That's our challenge. And if we can create those national operating entities—there are still many struggles—I think other changes will follow. The people will make use of them, but we have to create them. If we let somebody else create them, they won't be governed in ways we can trust. They won't have the values that we can trust. But we need a lot of money to do it.

MR. RUNKLE (University of Chicago): First of all, I want to say we went through a similar thing on a small scale with online catalogs, where libraries went ahead and did their thing, and ultimately, the faculty accepted this change and embraced it. Number two, I think your outline is wonderful, and I think an ARL committee should pick up on this and actually work through it.

MR. STUDER: Another comment from the California conference. The editor/publisher of *Soliloquy* was there. He has a print journal as well, which is very well respected, and *Soliloquy* has been around for a long time and has a degree of acceptability and prestige. In one of the break-out groups, he shared with us the fact that he has to struggle for sufficient quality articles for *Soliloquy*. Even with a digital journal that has established a certain amount of reputation, there is still a culture that won't feed it in the way it deserves feeding.

MR. BENNETT: I think there is a tipping point. Once you get to a certain point, things come around fairly quickly, but getting to that tipping point, getting people to take on some hard work is the difficult part.

We are out of time. Thank you.

ARL TOWN MEETING

USING ILL/DD PERFORMANCE MEASURES

Shirley K. Baker, Vice Chancellor for
Information Technology and
Dean of University Libraries
Washington University-St. Louis

Mary E. Jackson, Project Director
ILL/DD Performance Measures Study

MS. BAKER: I am here as the Chair of the Advisory Committee for the Interlibrary Loan/Document Delivery Performance Measures study. That committee includes chairs from other ARL committees: Paul Kobulnicky from the Management Committee; Bill Crowe, who had been the Chair of the Statistics Committee when he came on and who had experience with the previous study; and Bill Studer, current Chair of the Statistics and Measurement Committee. It also includes Barbara Brown, who is a representative of the Oberlin Group; and Mary Jackson, who is Project Director to this performance measures study.

This is the second extensive ILL study in which ARL has participated. The first, done in 1993 with RLG, looked at costs. This one, done in collaboration with the Council on Library Resources and supported by the Mellon Foundation, looks at costs and performance measures.

The data has come in and has been preliminarily processed. Those of you who came here directly from your institution might have already received the data for your institution and the preliminary overall data. I do want to emphasize that these data are preliminary; we can't make any judgments from them.

We would like to do two things today. One is have Mary walk you through the kinds of reports there are, because they're not easy to comprehend the first time around. We will then open a discussion on some of the global issues: the managing of staff resources; redefining interlibrary loan/document delivery, and perhaps identifying alternative strategies; and understanding how policies might impact lending costs. Second, the Management Committee and the Access Committee had a very lively joint meeting on this issue on Wednesday. We will try to briefly summarize the main issues that came out of that.

With that, let me turn it over to Mary to tell you about the study.

[Editor's Note: Ms. Jackson briefed the membership on the project scope and methodology and then reviewed two anonymous Preliminary Individual Institutional Analysis reports of interlibrary loan departments participating in the study. Directors with ILL departments participating in the study were encouraged to review the similar report recently mailed to their library and to verify its accuracy by June 6 so that the data could be aggregated for the overall analysis of ILL/DD performance.]

MS. BAKER: Let me now talk a little bit about the issues that came out in the follow-up discussion at the joint meeting of the Access and Management committees. Our intention was to begin to look at what kinds of things we might want to be able to squeeze out of this data once you all sign off on it and it becomes firm.

There were a couple things that came out of that discussion. One was we would be looking for models that were effective: low-cost and good performance measures. We might, from that, do some publicity of those models. What are the characteristics that make for a low cost and yet effective interlibrary loan/document delivery service? We can do so and then we can look at our own organizations and say, "How do we compare? If we're more costly than that, what changes might we make to get to a better model?" And it's possible that some institutions might be willing to step forward and share actual case studies.

Something else that came out is that we're talking about staff who, in some cases, have been incredibly innovative, but in other cases have been very reluctant to rethink how they do things. How can we make changes in these organizations? Or are we going to, if we can't get our costs down, have to form another organization that has lower costs? And we talked quite a bit about what we might do with the workshops or designing processes to help implement this kind of change. We talked also somewhat about an organization that might be in transformation—moving from a very costly, non-satisfactory model to a more effective model, and in fact, the cost there might be higher because sometimes when you are improving service, your costs go up before they go down. That's the kind of thing that only an individual organization would know. The data won't tell us that at all.

The 49 people in the room for the joint committee discussion were quite dismayed at the high level of user satisfaction compared with both turnaround time—which was also dismaying, some people used the terms "appalling"—and the cost to the libraries. The Advisory Committee had a hard time with the user satisfaction issue because we knew that we were not tapping those that were not using the service, who may very well be dissatisfied users. How we deal with this information may be something that is going to require a lot more discussion.

Finally, one other discussion we had was about policies and how the policies on what is lent and how long it's lent, for whatever reasons, might contribute to the amount of time that is spent by staff trying to borrow these things, looking for a policy that matches what you want. And the observation was made that even though the interlibrary loan code—which is what the U.S. runs by—has been revised every ten years, and every time it's getting revised, it is looser and broader, driven by the more innovative times, that some of our staff may be out there still abiding by the 10-year-old code or maybe the 20-year-old code and being very restrictive. I'm not sure that the data will tell us anything about this, but it was something certainly for us to ask about in our own libraries. Those were the general themes that came out in that discussion.

Paul, is there anything I missed that you might want to add?

Are there issues that the rest of you would like to discuss on what we might be looking to get out of this data? Information that we could use to improve or change our organizations?

MS. TAYLOR (Brown University): I'm not sure how much you can get out of this data, but as you look forward at continuing tracking, I think trying to get some impression of the impact of area and digital delivery systems on some of these issues is going to be important. A lot of us have invested in this, but its impact isn't completely clear because not all of the players have it. It would be interesting to see, as time goes on, if that will lower some of the turnaround times.

MS. JACKSON: We did ask the question if, as a borrower or a lender, the library used Aerial. We did not ask to the extent to which they used Aerial.

MS. KAUFMAN (University of Tennessee): One of the things we talked about in the joint committee meeting is the notion that this is really a description of process improvement, and as such, it's difficult to make the jump, as Shirley has indicated, to rethinking, reengineering of the entire process. And politically, one of the things that becomes difficult, even though one can talk about the rationale for high user satisfaction numbers, the fact is they are there, and the basis for them is that on our campuses, there are a large number of satisfied users, people who have built up relationships with the interlibrary loan

staff. If we move from process improvement to process reengineering, those satisfied users are going to become increasingly dissatisfied, and that's the political thing that we're going to have to deal with.

It may speak to an investment strategy that says you prop up the existing process while you simultaneously invest in a new process, and then you look for some convergence down the road between the two. But clearly these numbers do come from something, and we've got to be able to deal with that.

MS. BAKER: Interlibrary loan may be one of the most personalized services on the campuses. These library staff are the people who get their names in the front of books.

MS. TAYLOR: We should be looking, I think, at user needs that are being met by ways other than by interlibrary loan. We have a consortium in our state, of which Brown is not a member, but it's a group of libraries who are all on the same Innovative system, and they have initiated direct patron loan amongst them. And according to my colleagues there, their interlibrary loan has dropped off dramatically because of things that were interlibrary loan are now just circulation lending.

MS. BAKER: Speaking for myself, a great hope is that these increasing number of consortia that offer reciprocal borrowing will siphon off some of this continually increasing demand for this very expensive and labor intensive ILL service. We should pursue both of these services.

MS. JACKSON: We do have some participants in the study who are operating in that consortium environment, and we want to take a look, in greater detail, at their costs and probe a bit further of where the work is done. Is it circulation? Is it interlibrary loan?

MR. STUDER (Ohio State University): I might make a comment on an inadvertent reportage difference in Ohio. We have four ARLs there, as you know, and we are very heavily in the P-Circ mode, half million a year.

MS. BAKER: Your OhioLINK circulation.

MR. STUDER: And it's very inexpensive. Well, unbeknownst to us, we were counting these transactions differently. Kent State and Ohio State don't do P-Circ out of ILL; the other two do. P-Circ is in their ILL statistics, not ours. You will not see our individual data differences because those individual reports are confidential, but in the aggregate, you are going to be seeing some less expensive costs for borrowing because of this, and we can't redo the data collection. But we will footnote that somewhere in the report, so if that is an issue, at least it will be recognized that this occurred.

(From the Audience): There are other alternative methods of procurement which libraries have established as well, whereby a faculty member may individually request something from a document supply service and have it delivered directly to that person, circumventing the interlibrary loan staff.

MS. BAKER: That is something you'll know from your own institutions, and you can take that into account. Some institutions did report those kinds of arrangements on their statistics for interlibrary loans, but many have not counted them here.

MS. JACKSON: We did give a definition of "interlibrary loan" and left it up to the participants to determine what they are considering within this definition of "interlibrary loan."

MS. BAKER: If there are no more questions, we might summarize what happens next and give you something of a time line. We are counting on you verifying or getting back to us on your data by June 6th, so that we can move ahead quickly. Bruce Kingma, the study's consultant at the University of Albany, is standing ready to assist with the data analysis, and we hope to have a report by the end of June, and we'll be sending that out to you. That will be firmer data, and we will include with that some talking points. The last time we did a cost study, one of the things we did was go through and figure out what your provost

or president or the chronicle reporter might ask you and some data that might help you respond to those questions. We will send out what we can think of that might be helpful.

We will also be having a retreat of the advisory committee and some other people—Bruce Kingma, some people who worked on the last study—to begin to talk about what we can get out of this data, what questions we should focus on, and, in some sense, what the ultimate report should look like.

I believe that's all we've got. Other questions or comments?

MS. WERNER (University of California, Los Angeles): Mary and Shirley, thank you very much. I personally feel that the models that you are able to come up in this study will be something very tangible and useful to us all

[Editor's Note: Final institution-specific reports were mailed to participating libraries in August 1997. The final report summarizing all of the data was published by ARL in 1998: *Measuring the Performance of Interlibrary Loan Operations in North American Research and College Libraries.*]

APPENDIX I

BUSINESS MEETING

MS. WERNER (University of California–Los Angeles): I'm pleased to convene this business meeting, and I want to begin, again in keeping with tradition, by saluting four of our colleagues who will be retiring as directors before we next meet in October. And those four are Ruth Patrick, Barbara Smith, Joanne Euster, and Frank Rogers.

In a moment, two of our colleagues will be telling us about Joanne and Frank. But I want to first say a few words about Ruth and Barbara, who could not join us here in Albuquerque. Ruth Patrick has been the Director of the University of British Columbia Library since 1990, and, as many of you will remember, she hosted last year's very delightful meeting in Vancouver. Ruth will be taking a one-year leave of absence, following which she will be returning to the University of British Columbia.

Let me say a word or two about Barbara Smith. Barbara has served ARL with distinction since 1989, when she became Director of Libraries at the Smithsonian Institution, where she has been a dedicated proponent of ARL and its mission. Please join me in saluting Ruth Patrick and Barbara Smith.

I want to call now on Joe Boissé from the University of California at Santa Barbara, who will wish bon voyage to Joanne Euster, the University of California-Irvine's University Librarian.

MR. BOISSÉ (University of California–Santa Barbara): Joanne and I really got to know each other about 14 years ago when we were in competition for the same job, and she subsequently went on to serve with distinction at Rutgers and at UC-Irvine. We have worked together in a number of venues: in this association, on the executive board of the Association of College and Research Libraries, on the board of directors of the Research Libraries Group, and, of course, as colleagues for the past several years in the University of California system. It has always been a pleasure to work with Joanne, a real delight. She is a colleague with whom you can disagree professionally, and it has no effect on your friendship. She is thoughtful, considerate, and always prepared to go the extra mile to make sure that things get done the way they're supposed to be done. She has tackled some pretty enormous tasks in her leadership positions, in the professional associations as well as in the workplace. Now she is taking on another big challenge, retirement. Joanne has told me that her plans for the future are not definite, but they do include travel and writing.

Joanne, we all wish you a very wonderful retirement.

MS. WERNER: Phil Leinbach, would you be so kind as to tell us about Frank Rogers?

MR. LEINBACH (Tulane University): Thanks, Gloria. My friend Frank Rogers, from the University of Miami, asked that I make a few remarks on this sort of bittersweet occasion of retirement, and I am certainly pleased to do so.

Many of you know that Frank came to this country from England, and has served the profession now for 46 years, five of those in England and then 41 in this country. He's from a little town called Darlington, which he says is the birthplace of railroads, and that's about all it's famous for. He went to the University of Durham and then to the library school at University College at University of London, where he received his degree in 1951. In 1955, Frank was elected to Fellow of The Library Association, which is quite an honor in Britain. He says he heard about the excellent opportunities for librarians in the United States from the dean of the University of Illinois graduate school when he was visiting the library school.

So, in the late '50s Frank came over to this country, first to the Akron Public Library, but soon after, he moved to the University of Illinois library, where he spent a few years, and then he went to Penn State, where he worked as chief reference librarian and as Assistant Director for Public Services.

Frank received his first directorship in 1969, when he headed west to Portland State University in Oregon. He stayed there for a decade. He says it was there that he learned "how to maintain the development of a library in an environment of frequent budget cuts and hiring freezes." Does that sound familiar? Frank then went to the University of Miami, from which he is retiring, in 1979, and where he has had a distinguished career.

Throughout his career, Frank has been active in library associations, particularly at the state and regional level. He served on the board of the Pennsylvania Library Association and was President of the Oregon Library Association. He has been particularly involved in ACURIL, the Association of Caribbean University Research and Institutional Libraries. He has been active in the Southeast Florida Library Information Network (SEFLIN), and in our own association, serving on the OMS Advisory Committee and the Committee on Statistics and Measurement.

Frank has published a number of articles and books, perhaps the most notable of which is the *Guide to British Government Publications*, which was published by Wilson in 1980.

There are a number of other things I could mention. Frank has given speeches and been on evaluation teams and consulting teams, those many contributions to the profession we do appreciate.

Let me say on the personal side that Frank has enjoyed camping, climbing, and mountaineering. In general, he has been a real outdoorsman. He is also a book collector and a student of postal history, mail carried across the Atlantic by 19th century steamships, a fascinating topic. I know from my own friendship with Frank that he is a lover of good food and wine, a love and ability many of us have enjoyed during dinners at ARL meetings, when we could always count on Frank for selecting the right wines for the meal.

Recently, members of the University of Miami community paid tribute to Frank. The president, Edward Foote, said that he noted from the time he came to the University that Frank displayed a great deal of intelligence, erudition, and qualities of leadership. Some other qualities that popped up in these tributes were a playful wit, quickness, energy, cooperation, vision, initiative, a fine colleague, and a quiet manner. So we do say hail and farewell to Frank today.

He tells me that he is officially stepping down on August 15, and will stay on at the University of Miami for a year doing some research, after which he will be happy to go to his home in Antigua, Guatemala, where we hope he will have many years of happy retirement. So thank you, Frank, and good luck.

President's Report

MS. WERNER: As ARL President, it is now my pleasure to bring you up to speed on a number of recent Board actions. Let me begin by asking you for a vote on the Board's very strong recommendation that we invite Texas Tech University to join our ranks as ARL's 121st member. You will have noticed in the Board minutes that we have had an invitation to Texas Tech under consideration for a few years now. When we first began to consider them, though quantitatively and qualitatively they certainly met our criteria, there was a bit of concern about sustaining university investment in the library. I am pleased to say that over the course of the last several years, the trend line for investment by the campus administration in the library has been really quite remarkable, and we now feel very confident that they enjoy some very fine support at that institution.

So I am pleased to recommend to you that we invite Texas Tech to join our ranks. Before taking a vote on that issue, I would entertain any comments or questions from this group.

Hearing none, would all those in favor of this action signify by saying "aye"?

(Chorus of "ayes.")

MS. WERNER: Any opposed?

(No response.)

The ayes carry it. I am sure that Texas Tech will enjoy hearing this outcome. Let me now report on several informational items. First off, we will be having some name changes within our committee structure. With considerable input from the ARL Management Committee, the Board has developed a new charge to that committee, and in the process of developing that charge, the committee members suggested a name change that we like very much. I'm pleased to report that henceforward, the ARL Management Committee will be known as the ARL Committee on Leadership and Management of Research Library Resources. The new name and the charge that really builds on that name highlight the leadership challenges we all face in a rapidly changing environment.

Secondly, I'm pleased to tell you that the board has taken action to cosponsor a new award with CAUSE and EDUCOM, the Paul Peters Award. This award will recognize distinguished achievement in networked information, and ARL, CAUSE, and EDUCOM have each appointed two members to serve on a steering committee to further define criteria for this award and to work out the process for choosing its recipients.

Marilyn Sharrow and Nancy Eaton are the ARL members on that steering committee, and I'm sure they would both be happy to hear any comments on criteria or suggestions for a recipient. The goal is to present the award for the first time in October.

The third item on the information front is that we have taken action on NINCH, the National Initiative for Networked Cultural Heritage. Max Anderson called attention to NINCH in his talk yesterday, particularly when he was referring to a move to digitize items in museums, and he acknowledged very beautifully how important the help of David Green, the executive director of NINCH, has been to the museum community.

It's not clear to me how many of you are familiar with all of the work that David has managed to instigate during this first year of NINCH's operation, but I am here to tell you it's remarkable. ARL, with a very generous grant from the Delmas Foundation and a lot of help from David Stam, was able to participate in a policy role with the NINCH board during its first year. During that time several of us got sufficiently excited about what NINCH was planning to do that we joined from our own institutional base; I should tell you that the cost of a policy board membership, which is what ARL has, is $10,000 a year, whereas the institutional membership is $500, a considerable difference.

The NINCH board is very excited at the concept of allowing ARL to stay at the table in a policy role, but they also liked the idea of individual institutions joining as institutional members. It was a concept they thought they would like to carry forward to the art museum community, as well. I want to alert you that you will be receiving a letter cosigned by David Green and myself inviting you to consider institutional membership in NINCH. If any of you have any questions about their activities, those of us who have been following them would be delighted to answer them. Chuck Henry is very active with that group, and certainly he, Jim Neal, and I have enjoyed being institutional members.

Are there any questions about this initiative?

FROM THE FLOOR: How does the Board intend to maintain future ARL membership in NINCH?

MS. WERNER: We will be seeking institutional memberships from ARL libraries, and we will cumulate those and add to them if it becomes something we need to do to sustain the ARL membership at a policy level. It's a new approach to funding memberships.

Another new initiative I want to tell you about is in the area of the scholarly community and intellectual property. ARL has had a number of discussions with the Pew people, which has resulted in a commitment for a national Pew Higher Education Roundtable on the management of intellectual property in higher education. We have had many discussions about this issue. Having had all of those discussions in a number of forums has paved the way so that the time is now right to have something done with the imprimatur of the Pew Roundtable attached to it. We aim to come out of this Roundtable with a direct and specific action agenda. The Roundtable will be held in November in the Baltimore/Washington, DC area, and we are told that 25 would be the ideal number of people to have there, made up of provosts, chancellors, and certainly some of our own members from this group. I would love for you to give some thought to this—your ideas as to what key individuals would be the right people to come together and come up with an agenda that we can move forward with. Also, as you know, the Pew Roundtable proceedings are published in *Policy Perspectives* and are widely read and considered both nationally and internationally.

I would like now to call on Jim Neal, Chair of the Working Group on Copyright Issues. He certainly has a few items to tell us about on that front.

Report of the Working Group on Copyright Issues

MR. NEAL (Johns Hopkins University): I am pleased to provide you with a brief report on several issues discussed and actions taken by the Working Group on Copyright Issues. We had our preliminary discussion of a new electronic copyright registration and management system that is in development at the Library of Congress. Two task forces have been formed; one is to work with LC to identify issues and concerns for discussion at our fall meeting, and a second is to draft for our review a set of ARL principles on copyright management information.

It's important to note that copyright management systems are technologies that enable copyright owners to regulate and to charge for access to digital works. Clearly, in our view, legal and fair use of information and the privacy of individuals are potentially threatened by this type of technology. We need to be concerned.

WIPO treaty implementation legislation is now circulating in Washington, and from the reports we have received it does not look promising.

Two bills will probably be introduced later this summer providing additional protection for databases. It is probable, though, that the current copyright law will not be reopened again for several years, and therefore the Digital Future Coalition is now developing a legislative proposal to address our core issues in the area of fair use, preservation, interlibrary loan, distance education, and reproduction. We are trying to take not just a defensive tack, but to create a proactive legislative initiative.

Also, the copyright term extension legislation is now being discussed, but with prospectively an exemption for libraries, and as we have also heard, the Patent and Trademark Office reform legislation is calling for the creation of a new undersecretary position in the Department of Commerce, the executive branch that would be responsible for intellectual property policy, a very important development that we need to monitor carefully.

There is a draft set of principles for licensing electronic resources that is now being reviewed for finalization this summer, which I encourage you to read. This set of principles was developed by representatives of six national library associations and coordinated by ARL's Mary Case. The Copyright Working Group did look the document over in tremendous detail and will be providing input before finalization this summer.

A very important development is the appearance of the *Basic Principles for Managing Intellectual Property in the Digital Environment*. Prepared by the National Humanities Alliance, it was reviewed by the Copyright Working Group and recommended for endorsement by the ARL Board. We will be bringing that recommendation to vote later today. These principles, which are important because they embrace the scholarly community of the humanities, build upon the work that was done at the University of California and on our own ARL principles.

We also discussed extensively the need for advocacy and public education on copyright. We outlined five strategies: 1) to continue to educate our own faculty and administrators on the issue; 2) to encourage understanding and actions in scholarly societies; 3) to publish information for public consumption in local newspapers and broadcast it on local radio stations—we will be developing model statements or core information that each of us can use in our local press and media; 4) providing library directors with information and overheads that we can use in our own campuses and communities; and 5) identifying key legislators in the new Congress and organizing our political network so we will be prepared this summer and fall to take the initiative and influence the legislation that will be coming down the pike.

We also began a discussion of the copyright status—or the public domain status—of outputs from federally funded research. For example, we will be looking at: guidelines from the National Institute of Health; the recent AAP position that papers posted by authors on the network would not be accepted for journal publication; concerns being raised by graduate students and publishers about the electronic distribution of dissertations; and recommendations that are included in the National Research Council report, *Bits of Power*.

Lastly, we discussed the status of CONFU guidelines. CONFU will be meeting next week to finalize its report. Most of the library community, and, we believe, the publishing community, are not supporting the proposed guidelines. The future of the CONFU process is not clear, but we feel that, instead of guidelines, the ARL community should now move ahead in the development and sharing of best practices—like the electronic reserve practices that were initially prepared with CONFU and are now being used at some of our institutions .

Yogi Berra, whose birthday was celebrated on Monday of this week, might say that the copyright developments provide us with an insurmountable opportunity. Let's remain vigilant and aggressive. Thank you.

MS. WERNER: The work that this group does with respect to legislation and intellectual property is just phenomenal. Jim, you and your group deserve a hand.

MR. NEAL: The staff is absolutely phenomenal.

MS. BRYNTESON (University of Delaware): It has been my observation that there is quite a concerted effort at the institutional level to send letters to presidents, provosts, and others asking for endorsement of multimedia guidelines, and I wonder if you are aware of that and if there are any recommendations you might have on directors of libraries' positions?

MR. NEAL: At some institutions there have been efforts to influence university administrations to actually take positions on the proposed guidelines; I know it is something we have done at Hopkins. The principal associations involved with some of the guidelines that are on the table have actually come out against them now, as well.

In addition, most of the library community, perhaps—the principal exception is the Special Libraries Association, and I encourage our colleagues who are active in that association to speak to that leadership—have taken a strong position against the guidelines. At Hopkins I have tried to bring this collective concern and opposition to the attention of our administration and also to those members of our

faculty who are active in the scholarly societies that have an interest in these guidelines. It is an ongoing educational and agitation process.

Mary, do you have anything that you would add on that?

MS. JACKSON (ARL): There is a very concerted marketing effort to get the multimedia guidelines endorsed, and we need to be sharing our concerns regarding those guidelines to make sure the institution is aware of both sides of the issue, and of what is and isn't included in the multimedia guidelines.

MR. NEAL: It was reported last week—and I don't know if we have verification of this—that Bruce Lehman, Commissioner of Patents and Trademarks, reported, "The CONFU process looks broken." So it seems that our concerns have been heard. Also, again, I'm not sure if the publishing community is in line with this.

MR. FRAZIER (University of Wisconsin): The history of guidelines speaks to the reality of photocopying guidelines that really came through the backdoor of our institutions. That is, they were promulgated and accepted at the departmental, divisional, and work-unit level, and gradually became the de facto policy of many, many universities by that route.

Now, we have had the CCUMC (Consortium of College and University Media Centers) sending out thousands of letters, and we have seen public information programs, video conferences which are, in fact, infomercials for the multimedia guidelines. So it's very important now that our institutions have written statements that, at the very least, say that your institution has not endorsed the CONFU and the multimedia guidelines. We need to be wary of a kind of backdoor acceptance of the multimedia guidelines, guidelines which have a very powerful and negative effect on the way we use intellectual property within academia.

MS. NUTTER (North Carolina State University): It would be helpful to have a one-page ARL statement on board action related to CONFU that we could disseminate. It's very difficult to know where and when this is going on.

MS. JACKSON: We have one on the Web at <http://www.arl.org/info/frn/copy/fowler.html>. It is ARL's letter to CONFU expressing our non-endorsement of the guidelines, and it is accompanied by several one-page statements on our concerns with each of the proposed guidelines on e-reserves, distance learning, digital images, and multimedia.

MR. NEAL: Also, I did circulate over the directors' list a letter that had been written by our provost. [Note: Some of the documents discussed during this part of the business meeting are included in the June 1997 issue of the ARL newsletter, *ARL* #192, a special issue on copyright and fair use in the digital environment.]

MS. WERNER: It is now time for our Executive Director's report.

Report of the Executive Director

MR. WEBSTER (ARL Executive Director): Thank you. I would like to start with a very important and joyful announcement. The Coalition for Networked Information, as of 3:30 yesterday afternoon, formally announced the appointment of a new executive director. Clifford Lynch has agreed to be the Coalition's new executive director, a tremendous occasion.

Clifford is uniquely suited to do this job. He is a brilliant strategist, he really knows information technology, but, perhaps most important, he understands and endorses libraries. He is an advocate of the values that we represent. He has, of course, had a longstanding relationship with Paul Peters and with all of us at the Coalition, and he really comes as an intimate friend and expert who is uniquely prepared to move the Coalition into its next phase. We are absolutely delighted with this development, because with

Clifford we will continue to have the intellectual leadership that we need in order to influence and shape the future of networking and of networked information.

The announcement has been posted on the Net, but I would like to read the quote from Clifford that is in that announcement—it captures him so effectively; he is a very articulate person—"It's a great honor to be able to build on the work that my friend and colleague, Paul Peters, has done on behalf of our whole community and to be able to lead CNI into the 21st century. My belief is that CNI is the most important program that we have to chart the course for the development and exploitation of the possibility of networked information to serve scholarship. As a community, we face enormous, but often confusing, opportunities that can be addressed only by working together on a national and international basis. And I will work to ensure that CNI continues to be a powerful vehicle for sorting through the confusion, fostering dialogue, and engaging in the opportunities before us." I am thrilled that he is going to be a continuing part of the Coalition's development. Needless to say, it is a great relief after the tragedy of Paul's death to know that Clifford will be working with us.

To move on, I would like to review some of the personnel changes that have been taking place at ARL. As you know, we have been rebuilding the team over the last year, and we have been very fortunate to make appointments that strengthen and extend our talented group. The first person I want to have you welcome is DeEtta Jones, our new Diversity Program Officer.

I hope you have had a chance to meet and talk with DeEtta. She is a great source of energy and insight into the issues that we face in the diversity arena. She comes to us most recently from the City of Fort Collins and Colorado State University environments, and she has been working very closely with the diversity committee as well as with the Office of Management Services and the management committee to put together the new diversity program.

I also want to welcome Julia Blixrud, who has joined us as Senior Program Officer. Julia is familiar to all of us. She has worked at a number of our institutions, and used to work for ARL back in the CONSER A&I Project days. She will be helping us out during Martha Kyrillidou's absence. As most of you know, Martha returns to Greece next month to complete a two-year obligation that she accepted when she took the State Department Fulbright grant to come here for her education. Martha will be returning to ARL at the end of those two years. Julia is picking up the Statistics and Measurements portfolio and is also working in the Publications arena.

I also want to acknowledge that Kathryn Deiss was promoted to Senior Program Officer in the Office of Management Services, a reflection of her growing contributions to that program.

Finally, I would like to be point out that Glen Zimmerman, upon his retirement at a young age from the Library of Congress, has agreed to come over to the Association to work on a part-time basis as a Senior Program Officer, principally working with Deborah Jakubs in the Global Resources Program. Glen's joining us gives us an excellent opportunity to extend our connections with the Library of Congress and to work in particular with the overseas field offices that Glen has overseen at LC.

I would like to also underscore the availability a new communications tool: the *ARL Program Plan* for the year. This, published for the first time in 1997, is a combination of an annual report, which reviews what we have done over the course of the last year, but, very importantly, also says where we are going with our programs and activities, what the staff and our committees are working on. It's a comprehensive statement at the outset of the year.[1]

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[1] Due to the similarity of content, the publication of the annual "ARL Program Plan" prompted a change in the publication pattern of the "Report on Association Activities." Beginning the 1997, the previously semi-annual "Report on Association Activities" became an annual publication, issued in conjunction with the October Membership Meeting.

I know it is heavy reading, but I do hope you see it as a reference tool, an item that you can refer to when you have questions, something that you can dip into to determine where we are with a particular program and where we plan to go. Further, the *Program Plan* is a useful way for people new to the Association to determine where they want to invest their time and energy. Then, of course, our monthly E-news will update and extend the *Program Plan*.

The one other thing I want to briefly comment on is the Association's financial situation. The Board has encouraged me also to provide this information in an article in the newsletter, so the charts on the transparencies that I will use will be available to you in that publication. [Note: See *ARL* #193, August 1997, for a report on the Association's finances.]

The auditor's report for 1996 indicates that our total revenue for this past year was roughly $3,123,000. The base amount for that revenue is the ARL membership dues: it is over half of our budget revenue.

We began 1996 with an expectation that we would have a deficit for the year because of our investment in the copyright arena. We ended the year with a reduction in the fund balance of $12,000, which is about half of what we had budgeted for the year's deficit, so, overall, we did meet our goals for the year. We are in sound financial situation.

We continue to build the board's reserve. We contributed $60,000 to the board permanent reserve, and along with $25,000 in interest earned on that reserve during the year, have built the reserve to a level of almost $500,000. Are there questions on the financial situations that we face?

MS. ALEXANDER (University of Missouri): Duane, what is our goal in terms of the reserve?

MR. WEBSTER: The intent is to reach $1 million, and then use the income from that reserve to support specific project activities that would be identified by the Board as deserving our investment. The Board's intent is to provide us with a venture fund that will allow us to invest in new ideas, new directions, and new initiatives. We have been very careful to nurture that fund over the last seven years, and we expect that we'll have reached that goal within another four years. The movement has been very promising. The fund balance itself is at roughly $300,000, and though it declined this year by $12,000, it has been relatively stable over the last several years, and it is earning interest, as well.

In closing, I hope you have a sense that we are very much committed to leveraging the influence and presence that this Association has on the set of issues that we're facing, and grow on that by building coalitions and partnerships with a large number of different organizations, both administrative and scholarly groups such as AAU and NINCH.

We have worked very hard to do just that in the legislative arena by working with coalitions such as the Digital Future Coalition and the Shared Legal Capability. All of these efforts allow us as a community to have a larger voice within the context in which we are working, but it also gives us a very special opportunity to exercise influence on those communities and to acquaint them with the issues and our points of view in a very effective fashion.

Thank you.

Open Forum

MS. WERNER: This is a time that we have set aside to entertain any issues for discussion amongst the representatives from our member institutions. Are there any issues that you would like to have brought up in this forum?

MR. HEWITT (University of North Carolina): This isn't an issue, but I have an announcement for those of you who hold institutional membership in IFLA. ARL has nominated Marianne Scott for the IFLA presidency, and we need your support. These are hotly contested, highly political elections, and most importantly, those of you who are not going to Copenhagen this summer for the IFLA conference, send your proxies to Duane.

MS. WERNER: Yes. That is an important thing for us to know about.

MR. FRAZIER (University of Wisconsin): Some of you may know that we have been contemplating the issue of journal prices at my institution to the point where we have gone public with some thoughts from Ken Rouse, our chemistry librarian. The question I keep finding myself returning to is, What are we really going to do to address this issue? I would like to suggest that we need to develop a fund in order to create new publication models. There is just no way around it. If 100 institutions would put up $10,000 each to fund 10 start-up electronic journals that would compete head to head with the most expensive scientific and technical journals to which we subscribe, we would have $100,000 annually for each one of those 10 start-up titles. This amount of money, by the way, is smaller than the annual increase that we are now experiencing for the most expensive journal lists to which we subscribe. Such an endeavor would cost less than the price for these subscriptions per year.

My question is, do we have 100 institutions prepared to put some fairly serious money on the table in order to create new models for scholarly communication? I don't see any way around the reality that we have to put the money out in order to make this start to happen.

MS. WERNER: Ken, do you sense, in your own institution, that if we were to move in this direction, that your faculty and other key players would be behind this effort and would transfer their publishing to these new models?

MR. FRAZIER: In all honestly, I believe the response would be mixed.

MS. CRETH (University of Iowa): I applaud Ken's idea. I do think, though, that the reality is we would have to give serious thought about possible scholarly societies or associations to partner with. The real problem is that librarians cannot start refereed journals in any field but our own, which won't help the problem, and so we need to find faculty who are prepared to take on such a task, and they would have to be senior faculty in order to attract other faculty members to contribute. Within our institutions—I would imagine this is true for all of them—there is still a lot of discussion about credit for tenure and for promotion with electronic materials. So it's risky in a lot of regards. Faculty from one of the medical departments and from the medical library met with me a year and a half ago. They wanted to start a new journal, challenging the editors of journals in that particular field. I asked them, "How are you going to do this? Who will back you? Is there an association that will put their imprint on this?" They were young faculty who wanted to take this on, but we've not heard back from them. I think the problem is they still have to find an association. So, if we're going to proceed in this direction—and it's a challenge for us to think about putting our money where our mouth is—we will have to find some partners in order to move forward. They are probably out there, but it is something we certainly need to give serious thought to. I would suggest the AAU as a possible partner.

MS. TAYLOR (Brown University): I wish to support Sheila's statement. Our provost is very interested in these issues, and earlier in the year he made a proposal to the faculty that, if there were any member of the Brown faculty who was in a position, from being on an editorial board of a journal, to move that journal from the commercial publisher to Brown, that Brown would take over the expense of publishing that journal. Now, I'm not sure that my provost had thoroughly considered the implications of the statement when he said it, nonetheless, it was a very bold step. The sad thing is that he has had no takers. One individual come forward with a proposal to publish monographs electronically, which was an interesting idea, but not quite what our provost was after. So we do have the will and the spirit out there

in some institutions. We have been known to put up money before, to go after windmills when necessary. But we do need some sort of incentive to get faculty to really buy into this and take the risk.

MR. GHERMAN (Vanderbilt University): I applaud Ken's idea. I think we need a lot more thought put into this. For instance, we need to be looking for partners, and our university presidents may be another place to pay attention to.

Ken, I assume when you say we're going to go head to head, that we would also cancel those journals from those publishers that we're building a journal to compete with. That is another power we have. When we create this journal, we're canceling the commercial journals. There is a double line here.

I have been talking with some people on this issue, though, and maybe there is another path here. As an example, for the physics literature it is initially published electronically in the physics archives with no peer review. Then when it is taken down it is turned into the paper article that we, then, buy in the journal. Maybe our money ought to go to the physicists to say, "Can we carry this model further? Can we bring the review process to the physics archive?" Then can we take that next step to say, "Now let's not take it down off that server and let's not buy it, but look at it there." There needs to be a new model we could look at, not only in physics, and put money into moving that forward. I applaud Ken and agree: we need to take some steps to do something. I'm just not sure where.

MS. WERNER: I want to see if I can capture the feeling here. I think Ken's idea is one of a number of ideas, and I feel that there is a real sense of frustration that we talk about these issues a lot, but can't seem to put together a package that we can move toward with.

MR. CAMPBELL (University of Southern California): You know, there is a song called, "Let's do something even if it's wrong." I like that suggestion. I want to suggest another potential alternative. It might cost us more, but why don't we buy UMI, rather than allowing them to buy UMI? I'm not sure it wouldn't be worth what it would cost us to bid on that.

MS. WERNER: Do you know what price tag we're talking about?

MR. CAMPBELL: I have no idea, but I can think of what the price tag would be if Elsevier buys it.

MS. WERNER: Any other issues or comments?

(No response.)

Then I call this meeting to a close. Thank you.

APPENDIX II

AAU/ARL GLOBAL RESOURCES PROGRAM
<http://arl.cni.org/collect/collect.html>

STATUS REPORT
April 1997

A key goal of the AAU/ARL Global Resources Program is to improve access to international research resources. Three projects, focusing on Latin America, Japan, and Germany, form the first phase of a network-based, distributed program for the coordinated acquisition of and access to foreign materials. Three other projects, on Africa, South Asia, and Southeast Asia, are under development. The ARL Research Collections Committee provides general oversight for these projects, all described in this document. Members are: Betty Bengtson, University of Washington; Claude Bonnelly, Laval University; Joseph Branin, SUNY-Stony Brook; Frances Groen, McGill University; Hwa-Wei Lee, Ohio University; Donald Simpson, Center for Research Libraries; George Terry, University of South Carolina; Suzanne Thorin, Indiana University; Barbara von Wahlde, SUNY-Buffalo; Karin Wittenborg, University of Virginia; and Joe Hewitt, University of North Carolina, who serves as Chair.

AAU and ARL formed an Advisory Board for the Global Resources Program and plans are underway for an initial meeting in summer of 1997. The Board will facilitate the implementation of those Program activities already underway and assist in determining the direction of new cooperative initiatives designed to expand scholarly access to international research materials. Members are: Betty Bengtson, Director of University Libraries, University of Washington; Myles Brand, President, Indiana University; Marianna Choldin, Director, Mortenson Center, University of Illinois; Jonathan Cole, Provost, Columbia University; Deborah Jakubs (ARL), Head, International and Area Studies, Duke University Libraries; Stanley Katz, President, American Council of Learned Societies; Hwa-Wei Lee, Dean of University Libraries, Ohio University; Carole Moore, Chief Librarian, University of Toronto; and David Wiley, Professor, Michigan State University and Co-Chair, Council of National Resource Center Directors.

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LATIN AMERICANIST RESEARCH RESOURCES PILOT PROJECT

Overview

The project seeks to expand the range of materials available to Latin Americanist students and scholars, to restructure access to these materials through distributed, cooperative collection development based on new uses of technology, and to assist libraries in containing costs through reallocation of collection funds. Start-up funding for the project came from The Andrew W. Mellon Foundation and 35 participating ARL libraries. In October 1995, the Mellon Foundation awarded ARL $125,000 for the second phase of the project. An Advisory Committee, chaired by Deborah Jakubs of Duke University (jakubs@acpub.duke.edu), oversees the implementation of the Latin Americanist Research Resources Project. In fall 1996, coordination activities related to the journals table of contents database were assumed by Grete Pasch, a Research Assistant at the University of Texas Latin American Network Information Center (UT-LANIC). Other coordination is provided by the six project working groups, focusing on, respectively: serials; publications of non-governmental organizations; monographs; government publications; partnering; and project evaluation.

Project Activities

In addition to the original project activities, which focused on Argentine and Mexican serials, government documents, and NGO publications, the Latin Americanist Research Resources Project now includes a monographs component, which has enlisted 18 libraries whose collecting assignments are already in place. Another half dozen institutions either have already pledged to participate or are likely to sign up. Project participants have committed to reallocate either $3000 or 7% of their Latin American monographic budgets to deepen coverage of an area in which they have a strong collection. Thus, the project builds on local strengths and expands the collective resource base while encouraging interreliance among libraries. The 18 original participants' start-up dates range widely through this first year of the monographic exercise, though at least eight began in January. As of March, the eighteen founders had committed to reallocate some $135,000 of their monographic funds for targeted acquisitions from Latin America. Coverage spans most of the region's countries, and additional participation is expected.

This project component is being coordinated by the Monographs Working Group, chaired by Dan C. Hazen of Harvard (dchazen@husc.harvard.edu). Current priorities include confirming collecting assignments and evaluating the resulting map of coverage; consolidating participation by the libraries that are still considering whether to join; and devising a strategy to evaluate the project's impact. Evaluation is particularly important, both to assess whether cooperation can provide cost-effective improvements in access to non-core research materials and to demonstrate that this endeavor seeks measurable benefits for its participants. A meeting scheduled for the annual SALALM conference in May will carry the Working Group's agenda forward.

All 35 ARL libraries participating in the AAU/ARL Latin Americanist Research Resources Project are automatically included in the patron-access interlibrary service established by OCLC and linked to the table of contents database of 300 Argentine and Mexican serial publications. (See http://lanic.utexas.edu/ project/arl/arl.html to access the pilot ILL service.)

Presidential messages from Argentina and Mexico have been digitized, and the process of scanning and indexing the complete files of these documents is nearly complete. The work is being carried out by Preservation Resources, and the images will be available on UT-LANIC. This part of the project brings together, into a single online collection, documents that were supplied by several ARL libraries. The Working Group on Government Publications, chaired by Barbara Robinson of the University of Southern California (brobinso@calvin.usc.edu), has played a major role in reviewing the images and reporting problems to Preservation Resources for resolution. Once the digitization project is complete, it will be accessible at <http://lanic.utexas.edu/project/arl/pm/>.

University of Florida Project

The University of Florida Libraries, along with University economist Dr. Jennifer Cobb, have begun work on a project, "Is Cooperation Cost-Effective? A Study of Latin American Collections and Resource Sharing." The purpose of the project is to examine the costs and benefits of specialization in a particular region, the Caribbean (a principal focus of the library collections at the University of Florida) and then to develop a model that could be used by other libraries in assessing their positions with regard to cooperative collecting efforts.

The University of Florida is currently accumulating interlibrary loan data that tracks the lending and borrowing of Latin American materials. They hope to develop a "trade composition" measure that reflects which materials are borrowed vs. which are lent via ILL. With specialization, the volume of trades should rise, and the materials loaned out should reflect the library's "specialization." They are also considering a sample of Latin American materials in order to track current usage by local constituents. This will help in measuring those costs associated with non-acquisition, i.e., costs of now borrowing materials via ILL. Information has been collected on acquisition decisions in the Latin American collection, but because of lags in cataloging, it has been difficult to link acquisition decisions to whether material has already been acquired elsewhere.

Other proposed activities that may be undertaken in the summer of 1997 are a survey of Ph.D. theses on Latin American topics and a survey of faculty research interests on Latin America.

Other Recent Developments

- A template for direct input of table of contents information into the database has been developed by UT-LANIC and is being tested by five libraries. This and other work related to the database is monitored by the Working Group on Serials, chaired by Eudora Loh of the University of California at Los Angeles (eloh@library.ucla.edu).

- Work has begun to expand the table of contents database retrospectively, adding information from 1990 to the present.

- Participating libraries have been asked to cancel one project journal for which they do not have responsibility and assume responsibility for a new title, thus expanding the database.

- Due to limited success with the distributed model for collecting the publications of non-governmental organizations, the Working Group on NGOs, chaired by Peter Johnson of Princeton (petertj@phoenix.princeton.edu), will be designing a different acquisitions /access strategy, to be discussed at SALALM in May.

- The Working Group on Partnering, chaired by David Block of Cornell (db10@cornell.edu), is exploring relationships with vendors, national libraries, and other organizations.

- Preliminary talks have been held to explore the possibilities of expanding the project to include Brazilian journals, with the assistance of the Library of Congress office in Rio de Janeiro.

- The Working Group on Evaluation, chaired by Drew Racine of the University of Texas at Austin (d.racine@mail.utexas.edu), is developing a plan for medium- and long-term assessment of the project's achievements and recommendations for future steps. This will be discussed at the Working Group's meeting at the May SALALM conference.

Participating Libraries, Latin American Project

University of Arizona
Brigham Young University
University of California, Berkeley
University of California, Los Angeles
University of California, San Diego
University of California, Santa Barbara
Center for Research Libraries
Columbia University
University of Connecticut
Cornell University
Duke University
University of Florida
Harvard University
University of Illinois at Urbana
University of Kansas
Library of Congress
University of Miami
University of Minnesota
National Agricultural Library
University of New Mexico
New York Public Library
New York University
University of North Carolina
University of Notre Dame
University of Pennsylvania
University of Pittsburgh
Princeton University
University of Southern California
Stanford University
Syracuse University
University of Texas
University of Toronto
Tulane University
Vanderbilt University
University of Wisconsin
Yale University

AAU/ARL JAPANESE JOURNALS ACCESS PROJECT

Overview
Early in 1997, the Japan Project issued a call for participation, to which 28 ARL libraries responded (see list below). On March 28, 1997, representatives of 18 of the 27 participating libraries met at ARL in Washington to develop the project further. Co-sponsored by the National Coordinating Committee on Japanese Library Resources (NCC), the Project is coordinated by Dorothy Gregor, NCC Director (dgregor@library.berkeley.edu), and chaired by Don Simpson of CRL (simpson@crlmail.uchicago.edu).

The group reviewed the draft workplan developed by the NCC Serials Subcommittee and affirmed the directions set forth in it, contributed a number of new strategies for achieving the goal of improving access for North American users to Japanese journals, and began the formation of Working Groups for three elements of the workplan, described below.

Project Activities, Part I:
Improving Access to Journals Available in North America

Union List Development
Compiled in 1991, the current, paper-based union list includes approximately 8,000 serial titles, but excludes significant collections at LC, NLM, Linda Hall and CRL, which would greatly expand the list. Nor does it include titles held by ARL libraries outside their East Asian libraries. Inclusion of ceased serial titles in any product the Project might develop is also highly desirable.

Participants in the March meeting identified the various sources of serial data available for building such a list, e.g., OCLC, RLIN, NACSIS. The group would support the development of a list if it could be built from existing machine-readable records. They agreed to be responsible for keeping holdings up-to-date, i.e., recording ceased or discontinued titles held by each library. If recon funding were available, it could be used to add holdings to the union list.

The union list should be Web-based for easy access by both librarians and end users. A prototype is available on the Project Web site. One of the Project's Working Groups will develop a Japanese union list of serials, including current and ceased titles and newspapers.

Collaborative Collection Development
Given the economic realities of libraries, expanding the number of Japanese journal titles available in North America will depend largely on a reallocation of existing resources made possible by developing collaborative collection development programs among the participants. Two models for collaborative collection development were discussed: 1) a distributed model, which would build the "national Japanese journal collection" through participants maintaining responsibilities for some designated titles in order to free up resources to increase the number of new titles among participants, and 2) a centralized model using the Center for Research Libraries as a site for building the national collection.

Within the first model, committing to two (2) unique serial titles — either already held or new to the U.S.—was seen to be a reasonable starting point that would provide an opportunity for developing the methodology for title selection/commitment.

Within the second model, Don Simpson has described a possible "centralized" approach through CRL, with the following characteristics:

- A minimum of 18-20 participants would be needed, each contributing $400 – $500 per year. CRL would deduct $35/year/title for cataloging and access services.

- The Project would have a representative on CRL's Area Studies Council, which meets once a year with the collection development officers.
- CRL plans to build an East Asian microform program on the model of the existing area studies microform projects. The Japan Project would be a springboard for that effort.
- Including newspapers in the project would permit the leveraging of CRL dollars beyond those provided by the Japan Project participants since foreign newspaper collecting is a principal focus of CRL.

Establishing a CRL piece of the Japan Project is seen as a way to "mainstream" Japanese studies collection development. In addition, projects involving ARL and CRL are more visible to library directors and other librarians than projects sponsored by specialized organizations such as the NCC and CEAL. It has been suggested that subscriptions of $1,000 and above might be candidates for the CRL segment of the Project.

A Working Group will establish guidelines for the collaborative collection development elements of the Project.

WWW Access to Japanese Journal Information

The East Asian Cooperative World Wide Web site hosted by Maureen Donovan at OSU (http://pears.lib.ohio-state.edu) is the Web site for the Project. The Project will develop links from the Web site to document supply services that can provide Japanese journal articles, e.g., Interlingua, JICST, OCLC, CARL-Uncover, others from Japan, etc., including any needed instructions about use, payment, etc. Participants agreed to identify useful sources of journal articles for inclusion on the Project Web site and to be alert to electronic journals from Japan that could be linked to the site.

Retrospective Conversion

The results of the NCC's retrospective conversion survey are posted on the Project Web site. Since the results indicate that there are several large collections that are not yet converted and are therefore unavailable in the national databases, the Project Coordinator will be seeking funding for retrospective conversion for serial files.

Project Activities, Part II:
Improving Access to Japanese Journals and Journal Articles in Japan

Zasshi Kiji Sakuin, NACSIS sources

Bibliographic access to union lists of serials and indexing sources is basic to North American users relying on sources in Japan for journal articles of interest. Several of interest reside on the NACSIS system, including the Zasshi Kiji Sakuin, which is now available from NACSIS over the Internet. Pending the development of a detailed training schedule, the NCC will receive a grant from the Center for Global Partnership for a program to expand the use of NACSIS by librarians and end users. It is hoped that participants in the AAU/ARL Japanese Journals Access Project will be among those who will travel to Japan for NACSIS training, and will work with NACSIS to extend hours and make the system more convenient to use from North America.

Cooperation with Japanese Academic Libraries

Mary Jackson, ARL's Program Coordinator for the North American Interlibrary Loan and Document Delivery Project (NAILDD), joined Project participants at their March 28 meeting. She stressed the need to adopt the standard international ILL protocols to ease communication among ILL systems and eliminate the overhead of the intensive paperwork associated with ILL operations. For international ILL to work well, we need to be able to use electronic messaging. OCLC is committed to using the international ILL standard, and the Project should determine whether NACSIS is also working to adopt the standard protocols. In the short term a free-formatted e-mail request similar to that of an ALA or an IFLA form might be used.

It is desirable to initiate stronger ILL/DD relations with Japanese libraries, and various actions have been proposed. Payment mechanisms that are flexible and easy to use by even the smaller libraries is an important factor, and could take the form of deposit arrangements or the use of IFLA payment coupons. A number of organizations in Japan have been identified as possible partners, including: NACSIS; Shiritsu Daigaku Toshokan Kyokai (Japan Association of Private University Libraries); the Kokuritsu Daigaku Toshokan Kyogikai (Association of National University Libraries); Daigaku Toshokan Bukai, Nihon Toshokan Kyokai (University Library Association/Department, Japan Library Association); and Nihon Shiritsu Daigaku Renmei (the League of Japanese Private Universities). A Working Group is being formed for this element of the Project.

Evaluation

A number of benchmarks can be developed to evaluate the project, including: number of unique titles held in North America before and after, number of titles held at CRL before and after, volume of ILL traffic, cost avoidance from using electronic journals from Japan, cost savings and reallocations from cancellations and the attendant costs of maintaining journals, etc.

Participating Libraries, Japan Project

Brigham Young University
University of California, Berkeley
University of California, Irvine
University of California, Los Angeles
University of California, Santa Barbara
Center for Research Libraries
University of Chicago
Columbia University
Cornell University
Duke University
Harvard University
University of Illinois at Urbana
Indiana University
Library of Congress
Linda Hall Library
Massachusetts Institute of Technology
University of Michigan
New York Public Library
Ohio State University
University of Oregon
University of Pennsylvania
University of Pittsburgh
Stanford University (Hoover)
University of Texas
University of Toronto
University of Washington
Washington University, St. Louis
Yale University

GERMAN DEMONSTRATION PROJECT

Overview

The primary goals of the German Demonstration Project are 1) to ensure effective and timely access to and delivery of German language research materials through electronic resource sharing and improved interlibrary document delivery services; and 2) to test linking between North American and German libraries to expand access to specialized research resources. This is a cooperative effort among research institutions in the United States, Germany, and Canada with strong German library collections and an institutional commitment to research in German history and political science. For more information on the project, contact Sarah Thomas (set9@cornell.edu), Cornell University Librarian who, with Winston Tabb, (wtab@loc.gov) Associate Librarian for Library Services, Library of Congress, co-chairs the German Demonstration Project Working Group. The project now has 22 participating libraries (see list).

The project has four objectives:

- To cooperate with the Deutsche Bibliothek and German government agencies in locating and/or encouraging development of digital versions of federal government documents.

- To collaborate with German research libraries to test network access to regional government documents.

- To improve access to and facilitate use of bibliographic records created by the Deutsche Bibliothek to expedite cataloging of German research materials. The timely availability of bibliographic records is a fundamental underpinning for resource sharing.

- To identify serials and monographs published in Germany that are critical for furthering scholarship but not widely held in North America, and devise effective document delivery strategies.

Project Activities

The ARL German Demonstration project submitted a proposal to the German-American Academic Council Foundation in Bonn in December 1996. As part of the proposal, the Niedersaechische Staats- und Universitaetsbibliothek Goettingen and ARL German Demonstration Project Working Group members would meet with colleagues in Germany in 1997 to discuss progress and plan the next steps in facilitating the digitization of German federal and Laender documents and access within Germany and North America. The Foundation will announce awards in its TransCoop program in May 1997.

Michael Olsen, Librarian for Germanic Collections at Harvard College Library, has joined the German Demonstration Project Working Group, replacing Tony Angiletta of Stanford.

Information on the German Demonstration Project (such as the list of members, minutes of meetings, funding proposals, and a list of URLs for German resources in history and political sciences, including Web sites for government documents) may be found under "Current Projects" (http://arl.cni.org/collect/collect.html#1) on the ARL Collections Program web page. The list of German URLs was prepared by Eileen Degenhardt, an intern in the Brown University Library in fall 1996. Fred Lynden, Associate University Librarian for Technical Services at Brown University, generously made the intern available for this project.

Participating Libraries, German Project

Brigham Young University
Brown University
University of California, Berkeley
University of California, Santa Barbara
University of Chicago
Cornell University
Duke University
Georgetown University
University of Georgia
Harvard University
University of Kansas
Library of Congress
Michigan State University
University of Minnesota
New York Public Library
New York University
University of North Carolina
North Carolina State University
Northwestern University
Southern Illinois University
University of Toronto
University of Virginia
University of Washington

PRELIMINARY PROPOSAL:

PILOT PROJECT ON
DIGITAL SOUTH ASIA LIBRARY RESOURCES

Overview
Within the context of the new Global Resources Program, the University of Chicago Library and Columbia University Library propose a two-year pilot project on South Asia to create electronic reference resources and develop the infrastructure for intercontinental electronic document delivery. The project is structured to ensure that mutual benefit accrues both in South Asia and in North America. Funding for this project from the Mellon Global Resources grant is viewed as seed money to attract additional long-term support.

Description
The project has two major elements. The first is the development of the capacity for digital transmission of page images to and from a test-bed of South Asia libraries. The second element is the creation, primarily by South Asian librarians, of electronic reference resources. Faculty have been involved in earlier South Asian projects and will participate in this initiative by assisting in the selection of titles for digital treatment and establishing priorities for work, thus enabling the project to meet known academic needs.

Participants in the project will include: in the United States, the University of Chicago and Columbia University; in South Asia, the Roja Muthian Research Library (Madras), and the Sundarayya Vignana Kendram (Hyderabad); and in England, the British Library for work on the Official Publications of India.

In addition to these major participants, incidental benefits will accrue to the South Asia Microform Project, the Urdu Research Library Consortium, and the Library of Congress Field Office (New Delhi).

Expected Outcome
The results of this project are expected to include:

- the development of a scanning capacity at research libraries in Madras, Hyderabad, and Chicago;
- standardized electronic indexing records for articles in Tamil and Urdu;
- structured electronic full-text tools keyed from a focused set of classic printed reference books;
- digital page images of Official Publications of India (standard English-language resources for research on the British Raj in India);
- mounting of these newly created electronic resources on a Web page;
- delivery on demand of images of articles from journals that will be indexed, with service via the Internet directly to scholars or via librarians, at the scholars' choice;
- preparation of grant proposals intended to support a second phase of the project with expanded participation in North America and in South Asia, and planning for a self-sustaining program of services beyond that second phase;
- a formal evaluation of the project.

The project will create models for other area studies groups, especially those in the developing world. The pilot project involves building an electronic library infrastructure abroad (with attention to both human and machine capacities) while enabling delivery of valuable services in North America.

Budget

Budget for the project will be a function of available funds, since the work is scalable. With more funds the project would reach more scholars and increase the number of electronic resources it creates; a meaningful pilot project could be undertaken with as little as $10,000. A more realistic figure for a project with wider scholarly benefit would be in the range of $50,000 to $80,000.

For more information, contact Jim Nye (jnye@midway.uchicago.edu) at the University of Chicago Library or David Magier (magier@columbia.edu) at Columbia University Library.

PRELIMINARY PROPOSAL:

AFRICAN NEWSPAPER UNION LIST AND PRESERVATION PROJECT

Overview

The Africana Librarians Council of the African Studies Association (ALC/ASA) and the Cooperative Africana Microform Project (CAMP) of the Center for Research Libraries (CRL) propose to develop a Web-based, searchable union list of African newspaper holdings, in all formats (paper, microform, and electronic), in all languages, organized by country. The Center for Research Libraries has offered to host this part of the project. A second step will be to expand preservation microfilming and explore digitization as a means of both preservation and access. The preservation effort would be led by Northwestern University Library, whose Preservation Department has an ongoing commitment to digitization projects.

Description

The many nations of Africa produce myriad newspapers in a number of different languages. These primary source materials are valuable for studies in popular culture and arts, history, politics, and economics. Many newspapers are published for only a brief time, and yet may be of great importance, for instance, those documenting a new political party or an independence movement.

This project will focus on the newspapers of sub-Saharan Africa, including South Africa, regardless of date or language. It will start with holdings in the United States and be expanded to include holdings in Africa and other countries as time and funding allow.

An earlier ALC cooperative project has been hosted and funded by Northwestern University Library for many years. African Newspapers Currently Received by American Libraries is compiled and updated annually. This resource is on the Web (http://www.library.nwu.edu/africana/resources/96crlnews.html) and used by many librarians. The new project would combine the currently received titles with holdings of newspapers that have ceased. The more complete Web-based list will provide access to holdings information world-wide. Knowing that a given paper is available in microform would allow a library to discard paper holdings.

A temporary, part-time staff person, housed at CRL, will combine the existing holdings lists from CAMP and the Library of Congress with the list compiled at Northwestern, and then augment it with the holdings of the major collections. The master list, organized by country, will then be marked for searching on the Web. This coordinator will also provide quality control and search for missing information. The master list will be updated as more information becomes available.

Preservation

Expanded preservation of African newspapers is an essential and complementary element to the access that will be provided through the electronic union list. Working cooperatively with CAMP and CRL, the staff of the Melville J. Herskovits Library of African Studies and the Preservation Department of Northwestern University will oversee the preservation microfilming of a number of African newspapers held there, and the digitization of a number to test both preservation and access issues related to digitization.

Linkages with African Libraries

As sub-Saharan African institutions gain access to the Web, they will benefit from this union list. Furthermore, it will enable members of ALC who are visiting African institutions to collect newspaper holdings information in Africa itself and identify runs of newspapers in need of preservation. Important newspaper collections exist in Nairobi, Dakar, Accra, and Ibadan, for example.

In 1979, the South African State Library published "Current South African Newspapers," No. 10 in its Bibliographies series. In 1983, the State Library published "List of South African Newspapers, 1800-1982, with Library Holdings." As part of this project, cooperating South African institutions will be asked to update their union list and make it accessible on the Web. Africa is beginning to produce electronic newspapers that are available on the Web. The Web site listing North American holdings will also provide links to these.

Budget

The project seeks $18,600 to support a part-time staff person (either six months full-time, or twelve months half-time). ALC member institutions will provide staff time to collate holdings information, and CRL will house the project coordinator. At the appropriate time, CAMP will support preservation filming at a level to be determined by member institutions. Participating institutions will continue to provide staff time, but additional funding will be needed to support the project in the future. Within the context of the Global Resources Program, ALC hopes to seek grant funding, possibly to be matched by participating institutions, as the project develops beyond the pilot phase. For more information on the project, contact Helen Baumann (hsb@mail.lib.duke.edu) at Duke University Library.

PRELIMINARY PROPOSAL:

INDEX TO SOUTHEAST ASIAN VERNACULAR JOURNAL LITERATURE

Overview

The CORMOSEA librarians request funding to support the creation of a distributed index to Southeast Asian vernacular journal literature. This index will enhance international scholarly exchange and allow for a rational distributed national collection by providing bibliographic control and document delivery.

The database will aim to be self-supporting through the establishment of subscription access to non-project consortium members. Potential users include research institutions in Europe, Australia, Japan and the United States, as well as government agencies, banks, commercial and legal institutions.

Rationale

This project aims to work with partners in the United States to establish Web-based searching technologies that will conform to emerging national metadata standards. CORMOSEA will work with partner institutions in Southeast Asia to extend these data standards to the realm of non-roman script mapping, in this way suggesting an international standard for the mapping, searching, and representation of scripts, beginning with the Thai script.

A number of indexing databases exist at institutions in Southeast Asia. At the moment there are many technical, political, and financial obstacles to the coordination of these, but it would be our hope that, as technologies within the region evolve, some data sets could be transferred to the data structure that we establish. We also intend to integrate the indexing data for journals from Singapore, Malaysia, and Brunei that has already been generated by Ohio University.

Work Plan

The CORMOSEA institutions will first agree upon which important vernacular journals should be indexed. Institutions will agree to carry out the indexing, based on the strengths of their collections and on staff language capabilities.

In this planning phase, we are requesting funding for five steps in database development:

- to establish a distributed database input structure that will be compatible with future metadata standards for Web-based searching. This structure will be developed in cooperation with databases currently being considered by the Association of Asian Studies;
- to implement cooperative ties with institutions in Southeast Asia to develop a database structure, primarily with the Asian Institute of Technology in Thailand and the Ayala Foundation in the Philippines;
- to implement programming to cooperate and link with the existing database of Indonesia titles currently available through the Internet from the Australian National University Library;
- to review options for using or adapting an existing thesaurus, and establish mechanisms for establishing additional terms;
- to investigate options for representation of non-roman scripts; review existing status of Web-based search protocols for non-roman script databases.

We are also requesting funding for start-up costs of the indexing:

- One part-time database administrator to oversee technical developments.
- One part-time database manager to ensure database integrity.
- Hiring and training of graduate students to index journals.

For more information, contact Judith Henchy (judithh@u.washington.edu) at the University of Washington Library.

APPENDIX III

130TH ARL MEMBERSHIP MEETING

CONSORTIAL LEADERSHIP: COOPERATION IN A COMPETITIVE ENVIRONMENT

Selected Definitions

There is no commonly accepted definition for consortia in the literature. The definition used for this meeting, "two or more institutions engaged in a mutually interdependent relationship," was distilled from this set of definitions and related terms.

Alliances: Those that both partners deem successful involve collaboration (creating new value together) rather than mere exchange (getting something back for what you put in).

> Source: Kanter, Rosabeth Moss. "Collaborative Advantage: The Art of Alliances." *Harvard Business Review* 72.4 (July/Aug. 1994): 97.

Cooperative System: A group of independent and autonomous libraries banded together by informal or formal agreements or contracts which stipulate the common services to be planned and coordinated by the policymaking body of the cooperative system.

> Source: American Library Association. *The ALA Glossary of Library and Information Science.* Chicago: ALA, 1983.

Library Cooperative (Network, System, or Consortium): An organization that has a formal arrangement whereby library and information services are supported for the mutual benefit of participating libraries.

> Source: U.S. Bureau of the Census for the National Center for Education Statistics. *Library Cooperatives Survey.* FY 1995.

Multitype Library Cooperative or Network: A combination, merger, or contractual association of two or more types of libraries (academic, public, special or school) crossing jurisdictional, institutional or political boundaries, working together to achieve maximum, effective use of funds to provide library and information services to all citizens above and beyond that which can be provided through one institution on a local level. Such cooperative networks may be designed to serve a community, a metropolitan area, a region within a region, or may serve a statewide or multistate area.

> Source: 1976 ALA Symposium

Multitype library cooperatives are combinations, mergers, or contractual associations of two or more types of libraries (academic, public, special, or school) crossing jurisdictional, institutional, or political boundaries, working together to achieve maximum effective use of funds to provide library and information services to all persons above and beyond those that can be provided through one institution. Such cooperative agencies may be designed to serve a community, a metropolitan area, a region within a region, or may serve a statewide or multistate area.

Source: Association of Specialized and Cooperative Library Agencies.

Mutual Service Consortia: Similar companies in similar industries pool their resources to gain a benefit too expensive to acquire alone (e.g., access to advanced technology).

Source: Kanter, Rosabeth Moss. "Collaborative Advantage: The Art of Alliances." *Harvard Business Review* 72.4 (July/Aug. 1994): 98.

Network or Consortium: The cooperative effort of a group of information specialists to facilitate, foster, and coordinate the sharing of books, periodicals, and other holdings among member institutions. A network's activities include the sharing of resources at the local regional, or national levels and may include interlibrary loan, centralized cataloging, circulation, and acquisitions, as well as access to shared databases. This definition excludes organizations whose sole function is the production and/or maintenance of an online catalog, union list, or electronic bulletin board. Examples of such an organization include the National Network of Libraries of Medicine (NN/LM), Colorado Alliance of Research Libraries (CARL), ILLINET, or NELINET.

Source: *Directory of Special Libraries and Information Centers* (*DSL*). Networks and Consortia Appendix. Detroit, Mich.: Gale Research Co.

Selected Readings

These recent publications address consortia, collaborations, and partnerships from business, higher education, and technology perspectives. A comprehensive bibliography on library consortia will be included with the proceedings from the 130th meeting.

Andreasen, Alan R. "Profits for Nonprofits: Find a Corporate Partner." *Harvard Business Review* 74.6 (Nov. 1996): 47-59.

DeLoughry, Thomas J. "Purchasing Power: Cost-Sharing Efforts Help College Libraries Finance Electronic Acquisitions." *Chronicle of Higher Education* 9 Feb. 1996: A21-A23.

Kanter, Rosabeth Moss. "Collaborative Advantage: The Art of Alliances." *Harvard Business Review* 72.4 (July 1994): 96-108.

Leuchter, Miriam. "A Quantum Change at Los Alamos." *Journal of Business Strategy* 18.1 (Jan. 1997): 16-21.

Maul, June Paradise. "Competition and Cooperation: Partnering for Success." *NACUBO Business Officer* 1996 (July): 53-57.

Shafer, Barbara S., and William S. Reed. "Consortia in Higher Education: Leveraging Time, Talents, and Resources." *NACUBO Business Officer* 1996 (July): 45-52.

JCB 4/97

APPENDIX IV

ASSOCIATION OF RESEARCH LIBRARIES
WASHINGTON, DC

AUDITED FINANCIAL STATEMENTS
FOR THE YEAR ENDED DECEMBER 31, 1996

Association of Research Libraries

Audited Financial Statements
for the Year Ended December 31, 1996

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INDEPENDENT AUDITORS' REPORT

To the Board of Directors
Association of Research Libraries
Washington, D.C.

We have audited the accompanying statement of financial position of the Association of Research Libraries as of December 31, 1996 and the related statements of activities, changes in net assets and cash flows for the year then ended. These financial statements are the responsibility of the Association's management. Our responsibility is to express an opinion on these financial statements based on our audit. The financial statements of the Association of Research Libraries for the year ended December 31, 1995 were audited by other auditors, whose report dated March 10, 1996, expressed an unqualified opinion.

We conducted our audit in accordance with generally accepted auditing standards and Government Auditing Standards, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Association of Research Libraries as of December 31, 1996, and its changes in net assets and its cash flows for the year then ended in conformity with generally accepted accounting principles.

As discussed in Note 14 to the financial statements, in 1996 the Association for Research Libraries changed its method of accounting for its investments as required by the provisions of Statement of Financial Accounting Standards No. 124. The Association for Research Libraries implemented the standard retroactively.

Gelman, Rosenberg & Freedman

April 2, 1997

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ASSOCIATION OF RESEARCH LIBRARIES

STATEMENT OF FINANCIAL POSITION
AS OF DECEMBER 31, 1996
WITH SUMMARIZED FINANCIAL INFORMATION FOR 1995

ASSETS

	1996	1995
CURRENT ASSETS		
Cash (Note 2)	$ 130,932	$ 3,547
Investments (Note 3)	2,386,535	1,836,706
Grants receivable	1,337	11,118
Accounts receivable	116,279	116,054
Accounts receivable - CNI (Note 12)	178,936	176,697
Prepaid expenses	48,301	39,263
Inventory	6,264	6,990
Other	3,045	3,470
Total current assets	2,871,629	2,193,845
PROPERTY AND EQUIPMENT		
Furniture and equipment (Note 6)	483,203	479,721
Library	24,167	24,167
Leasehold improvements	316,694	316,694
	824,064	820,582
Less: Accumulated depreciation and amortization	(419,858)	(396,952)
Net property and equipment	404,206	423,630
TOTAL ASSETS	**$3,275,835**	**$2,617,475**

See accompanying notes

LIABILITIES AND NET ASSETS

	1996	1995
CURRENT LIABILITIES		
Refundable advances (Note 15)	$ 25,216	$ 29,768
Accounts payable	254,591	78,401
Deferred dues	1,329,400	1,315,645
Deferred IFLA 2001 conference	15,000	15,000
Capital lease obligation (Note 6)	2,228	25,227
Deferred rent abatement (Note 5)	5,375	115
Total current liabilities	1,631,810	1,464,156
NONCURRENT LIABILITIES		
Capital lease obligation, net of current portion (Note 6)	72,499	15,478
Deferred rent abatement, net of current portion (Note 5)	229,262	234,407
Total noncurrent liabilities	301,761	249,885
Total liabilities	1,933,571	1,714,041
NET ASSETS		
Unrestricted:		
Undesignated	277,671	290,431
Board designated	486,359	398,936
Office of Management Services	(83,268)	(110,850)
Total unrestricted net assets	680,762	578,517
Temporarily restricted (Note 8)	661,502	324,917
Total net assets	1,342,264	903,434
TOTAL LIABILITIES AND NET ASSETS	**$3,275,835**	**$2,617,475**

to financial statements.

EXHIBIT B

ASSOCIATION OF RESEARCH LIBRARIES

STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED DECEMBER 31, 1996
WITH SUMMARIZED FINANCIAL INFORMATION FOR 1995

	1996			1995		
	General Operating	Office of Management Services	Total	General Operating	Office of Management Services	Total
CHANGE IN UNRESTRICTED NET ASSETS						
REVENUE						
Grants and contracts	$ -	$ -	$ -	$ 9,800	$ -	$ 9,800
Dues	1,515,252	145,000	1,660,252	1,435,770	152,880	1,588,650
Publication sales	216,755	147,898	364,653	181,012	151,072	332,084
Royalties	8,304	-	8,304	159	-	159
Consultation	73,646	104,929	178,575	19,875	114,569	134,444
Training	46,069	243,908	289,977	53,950	230,178	284,128
Conference fees	21,399	-	21,399	-	-	-
Miscellaneous	3,781	-	3,781	-	-	-
Investment income	75,173	-	75,173	75,244	-	75,244
Realized loss on sale of investments	(10,684)	-	(10,684)	(24,463)	-	(24,463)
Unrealized loss on investments (Note 14)	(32,731)	-	(32,731)	-	-	-
CNI administrative services	72,800	-	72,800	70,000	-	70,000
CNI rent reimbursement	56,600	-	56,600	55,680	-	55,680
OMS rent reimbursement	7,909	-	7,909	9,996	-	9,996
CNI cost recovery	17,451	-	17,451	15,210	-	15,210
Cost recovery	62,987	35,997	98,984	91,344	37,538	128,882
Total unrestricted net assets	2,134,711	677,732	2,812,443	1,993,577	686,237	2,679,814
Net assets released from restrictions - satisfaction of program restrictions (Note 9)	310,216	-	310,216	483,970	-	483,970
Total unrestricted revenue and support	2,444,927	677,732	3,122,659	2,477,547	686,237	3,163,784
EXPENSES						
General and administrative	709,591	-	709,591	716,577	105,399	821,976
Programs	1,298,828	650,150	1,948,978	1,121,016	631,439	1,752,455
Research and development - unrestricted	51,629	-	51,629	96,991	-	96,991
Research and development - temporarily restricted (Note 9)	310,216	-	310,216	483,970	-	483,970
Total expenses	2,370,264	650,150	3,020,414	2,418,554	736,838	3,155,392

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED DECEMBER 31, 1996
WITH SUMMARIZED FINANCIAL INFORMATION FOR 1995

	1996			1995		
	General Operating	Office of Management Services	Total	General Operating	Office of Management Services	Total
CHANGE IN UNRESTRICTED NET ASSETS (Continued)						
Change in unrestricted net assets before cumulative effect of change in accounting principle	$ 74,663	$ 27,582	$ 102,245	$ 58,993	$(50,601)	$ 8,392
Cumulative effect of change in accounting principle (Note 14)	-	-	-	(48,769)	-	(48,769)
Change in unrestricted net assets	74,663	27,582	102,245	10,224	(50,601)	(40,377)
CHANGE IN TEMPORARILY RESTRICTED NET ASSETS						
Grants and contracts	555,414	-	555,414	671,677	-	671,677
Training	41,650	-	41,650	22,500	-	22,500
Investment income	6,882	-	6,882	5,260	-	5,260
Cost recovery	34,907	-	34,907	11,710	-	11,710
Dues	1,748	-	1,748	-	-	-
Publication sales	5,800	-	5,800	-	-	-
Conference fees	400	-	400	-	-	-
Net assets released from restrictions (Note 9)	(310,216)	-	(310,216)	(483,970)	-	(483,970)
Change in temporarily restricted net assets before cumulative effect of change in accounting principle	336,585	-	336,585	227,177	-	227,177
Cumulative effect of change in accounting principle (Note 14)	-	-	-	97,740	-	97,740
Change in temporarily restricted net assets	336,585	-	336,585	324,917	-	324,917
CHANGES IN NET ASSETS	$ 411,248	$ 27,582	$ 438,830	$ 335,141	$(50,601)	$ 284,540

See accompanying notes to financial statements.

EXHIBIT C

ASSOCIATION OF RESEARCH LIBRARIES

STATEMENT OF CHANGES IN NET ASSETS
FOR THE YEAR ENDED DECEMBER 31, 1996
WITH SUMMARIZED FINANCIAL INFORMATION FOR 1995

	Unrestricted				Temporarily Restricted	Total
	Operating		Office of Management Services	Total		
	Undesignated	Board Designated				
Net assets at December 31, 1994	$361,509	$317,634	$ (60,249)	$618,894	$ -	$ 618,894
Changes in net assets	(11,078)	21,302	(50,601)	(40,377)	324,917	284,540
Reclassification (Note 10)	(60,000)	60,000	-	-	-	-
Net assets at December 31, 1995	290,431	398,936	(110,850)	578,517	324,917	903,434
Changes in net assets	47,240	27,423	27,582	102,245	336,585	438,830
Reclassification (Note 10)	(60,000)	60,000	-	-	-	-
NET ASSETS AT DECEMBER 31, 1996	**$277,671**	**$486,359**	**$ (83,268)**	**$680,762**	**$661,502**	**$1,342,264**

See accompanying notes to financial statements.

EXHIBIT D

ASSOCIATION OF RESEARCH LIBRARIES

STATEMENT OF CASH FLOWS
FOR THE YEAR ENDED DECEMBER 31, 1996
WITH SUMMARIZED FINANCIAL INFORMATION FOR 1995

	1996	1995
CASH FLOWS FROM OPERATING ACTIVITIES		
Changes in net assets	$ 438,830	$ 284,540
Adjustments to reconcile changes in net assets to net cash provided by operating activities:		
Depreciation	96,327	97,161
Realized loss on sale of investments	10,684	-
Unrealized loss on investments	32,731	-
Cumulative effect of change in accounting principle	-	48,769
(Increase) decrease in:		
Grants receivable	9,781	(11,118)
Accounts receivable	(225)	(18,823)
Accounts receivable - CNI	(2,239)	(91,792)
Accrued interest	-	2,590
Prepaid expenses	(9,038)	(9,078)
Inventory	726	2,356
Other assets	425	(3,470)
Increase (decrease) in:		
Accounts payable	176,190	(54,812)
Deferred dues	13,755	(30,983)
Deferred conference fees	-	15,000
Refundable advances	(4,552)	29,768
Deferred rent abatement	(115)	5,436
Net cash provided by operating activities	763,280	265,544
CASH FLOWS FROM INVESTING ACTIVITIES		
Purchase of equipment	(18,303)	(33,216)
Net purchase of investments	(595,117)	(371,178)
Net cash used by investing activities	(613,420)	(404,394)
CASH FLOWS FROM FINANCING ACTIVITIES		
Payment on long-term debt	(22,475)	(20,548)
Net cash used by financing activities	(22,475)	(20,548)

See accompanying notes to financial statements.

EXHIBIT D
(Continued)

ASSOCIATION OF RESEARCH LIBRARIES

STATEMENT OF CASH FLOWS
FOR THE YEAR ENDED DECEMBER 31, 1996
WITH SUMMARIZED FINANCIAL INFORMATION FOR 1995

	1996	1995
Net increase (decrease) in cash	$ 127,385	$(159,398)
Cash at beginning of year	3,547	162,945
CASH AT END OF YEAR	**$ 130,932**	**$ 3,547**
SUPPLEMENTAL INFORMATION		
Interest and Dividends Received	**$ 75,173**	**$ 75,244**

A capital lease obligation of $74,727 was incurred in 1996 when the Association of Research Libraries entered into a lease agreement for new equipment (Note 6).

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 1996

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES AND GENERAL INFORMATION

Organization -

The Association of Research Libraries is a non-profit educational organization comprised of the major research libraries in the United States and Canada. The purpose of the Association is to initiate and develop plans for strengthening research library resources and services in support of higher education and research. As part of its activities, the Association also operates the Office of Management Services.

The Office of Management Services was established by the Association in 1970. The Office conducts research into organizational problems of research libraries, develops new management techniques, and offers information services and training.

Basis of accounting -

The Association's financial statements are presented on the accrual method of accounting, which presents financial position, activities, change in net assets and cash flows in accordance with generally accepted accounting principles.

The financial statements include certain prior-year summarized comparative information in total but not by net asset class. Such information does not include sufficient detail to constitute a presentation in conformity with generally accepted accounting principles. Accordingly, such information should be read in conjunction with the organization's financial statements for the year ended December 31, 1995, from which the summarized information was derived.

Furniture, equipment and depreciation -

Furniture, equipment and leasehold improvements are recorded at cost. Depreciation is computed using the straight-line method based on the following estimated useful lives:

	Years
Computers	3-5
Equipment	5-10
Furniture	10

Investments -

Investments at December 31, 1996 and 1995 are presented at market value in accordance with Statement of Financial Accounting Standards No. 124 (Note 14).

Grants and contributions -

Grants and contributions are recorded as revenue in the year notification is received from the donor. Revenue is recognized as unrestricted support upon satisfaction or completion of the programs in compliance with donor imposed restrictions. Amounts received prior to the satisfaction or completion of the programs are presented as temporarily restricted net assets in the accompanying financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 1996

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES AND GENERAL INFORMATION (Continued)

Inventory -

Inventory is stated at cost and consists primarily of publications.

Income taxes -

The Association is exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code. Accordingly, no provision for income taxes has been made in the accompanying statements. The Association is not a private foundation.

Use of estimates -

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

2. CONCENTRATION OF CREDIT RISK

The Association had cash deposits with a financial institution of $233,499 at December 31, 1996. Such deposits were insured by the Federal Deposit Insurance Corporation (FDIC) at December 31, 1996 for $100,000.

3. INVESTMENTS

Investments at December 31, 1996 consisted of the following:

	Cost	Market Value	Unrealized Loss
Mortgage and Asset-Backed Securities:			
Residential FDG Mortgage Secs 1	$ 299,250	$ 258,000	$(41,250)
GE Capital Mortgage Services, Inc.	201,500	161,250	(40,250)
Money funds	1,967,285	1,967,285	-
	$2,468,035	$2,386,535	$(81,500)

4. COMMITMENTS

On December 18, 1992, the Association of Research Libraries entered into a lease for office space commencing February 1, 1993. The lease agreement contains a provision for increasing the annual rent based on increased costs for real estate taxes and operating services. Also, in accordance with the terms of the lease, the Association received a period of reduced rent (Note 5). Rent expense was $239,635 for 1996.

4. COMMITMENTS (Continued)

Future minimum lease payments are as follows:

Year Ended December 31,	Amount
1997	$ 245,010
1998	259,730
1999	267,396
2000	273,438
2001	279,591
2002 and Thereafter	626,857
	$1,952,022

5. DEFERRED RENT

In accordance with the lease agreement (Note 4) the Association was not required to make rent payments for the first eleven months of the lease. The Association also received a reduction in rent for the remaining one hundred and twenty-one months of $2,743 a month. Generally accepted accounting principles require that if rental payments are not made on a straight-line basis, rental expense should be recognized on a straight-line basis over the term of the lease. The amount of the benefit resulting from the abatement of rent payments totaled $568,098. The benefit is being amortized over 132 months.

6. CAPITAL LEASE OBLIGATION

The Association entered into a capital lease agreement for office space. Monthly payments, including interest at 8.5%, are forgiven for the first three months. For the three months following, monthly payments are $2,125 and $2,500 for the remaining period of the lease. The following is a schedule by years of future minimum payments required under the lease.

Year Ended December 31,	Amount
1997	$ 21,379
1998	30,005
1999	30,005
2000	30,005
2001	30,005
Total future minimum lease payments	141,399
Less: Amount representing interest	(66,672)
NET PRESENT VALUE OF FUTURE MINIMUM LEASE PAYMENTS	$ 74,727
Capitalized Lease Obligations	
Current Portion	$ 2,228
Long-Term Portion	72,499
	$ 74,727

7. PENSION PLAN

The Association has a retirement plan which covers substantially all full-time employees. Contributions to the plan are based on a percentage of salary for enrolled employees. The total amount contributed by the Association for 1996 was $186,100.

8. TEMPORARILY RESTRICTED NET ASSETS

Temporarily restricted net assets at December 31, 1996 consisted of the following:

H.W. Wilson - Copyright Education	$ 19,572
Shared Legal Capability - Licensing	9,998
Shared Legal Capability - Copyright	23,998
CLR Electronic Investments	4,650
Foreign Acquisition (Mellon)	3,230
AAU/ARL Global Resources	451,031
ILL/DD Performance Measures (Mellon)	75,327
AAU/ARL Latin Americanist Phase II (Mellon)	73,696
	$661,502

9. NET ASSETS RELEASED FROM RESTRICTIONS

The following is a summary of net assets which were released from donor restrictions by the passage of time or as a result of the Association incurring expenses which satisfied the restricted purposes specified by the donors.

NINCH	$ 10,000
H.W. Wilson - Copyright Education	35,744
Shared Legal Capability - Copyright	67,567
CLR Electronic Investments	1,350
NRMM - Performance Bond	667
NRMM Serials	75,557
NRMM Non-Roman	6,393
Foreign Acquisitions (Mellon)	6,120
AAU/ARL Latin Americanist Pilot	2,577
AAU/ARL Latin Americanist Pilot II (Mellon)	43,590
CLR Latin American Price Index	2,500
Shared Legal Capability - Licensing	2
ILL/DD Performance Measures (Mellon)	58,149
	$310,216

10. BOARD DESIGNATED NET ASSETS

The Association's general operating net assets has been reduced by $87,423, which represents an annual transfer of $60,000 and $27,423 of interest allocated to the board designated net asset account.

11. CONTINGENCIES

The Association's accounting practice regarding employee compensated absences has been to recognize the cost when paid rather than accruing over some period before payment. As a result of this practice, vested leave has been accumulating which is not reflected as an Association liability. This amount approximates $97,200 and has been primarily earned by the organization's Executive Director and Project Directors.

12. COALITION FOR NETWORKED INFORMATION

The Coalition for Networked Information (CNI) is sponsored by the Association of Research Libraries (ARL), EDUCOM and CAUSE. ARL acts as a fiscal agent for CNI. As such, the Association administers all financial aspects of CNI.

CNI was established on March 16, 1990. CNI's purpose is to promote the creation of and access to information resources in networked environments in order to enrich scholarship and to enhance intellectual productivity.

At December 31, 1996, $178,936 was due from CNI to the Association.

13. GOVERNMENT GRANTS

The grants the Association receives from the National Endowment for the Humanities (NEH) are subject to audit under the provisions of OMB Circular A-133. The ultimate determination of amounts received under the NEH grants is based upon the allowance of costs reported to and accepted by NEH as a result of the audits. Audits in accordance with the provisions of OMB Circular A-133 have been completed for all required fiscal years through 1996. Until such audits have been accepted by NEH, there exists a contingency to refund any amount received in excess of allowable costs. Management is of the opinion that no material liability will result from such audits.

14. CHANGE IN ACCOUNTING PRINCIPLES

During 1996, the Association adopted Statement of Financial Accounting Standards (SFAS) No 124, "Accounting for Certain Investments Held by Not-for-Profit Organizations", and implemented the standard retroactively.

SFAS No. 124 requires that investments with readily determinable market values be reported at market value with gains and losses included in the statement of activities.

The retroactive implementation of SFAS No. 124 resulted in a one-time charge against unrestricted net assets of $48,769 in 1995.

In 1995, the Association adopted Statement of Financial Accounting Standard (SFAS) No. 116, "Accounting for Contributions Received and Contributions Made".

14. CHANGE IN ACCOUNTING PRINCIPLES (Continued)

SFAS No. 116 requires that contributions and grants be recorded as receivables and revenue upon notification of the awards. SFAS No. 116 also requires the organization to distinguish between contributions received for each net asset category in accordance with donor imposed restrictions.

As a result of implementing SFAS No. 116, certain revenue previously deferred was recognized as revenue. The cumulative effect of this change in accounting principle was $97,740 and is shown as a one-time increase in temporarily restricted net assets in the accompanying 1995 statement of activities.

15. REFUNDABLE ADVANCES

Receipts in excess of expenses are shown as refundable advances and classified as follows:

	Amount
CLR Latin American Price Index	$ 1,500
NRMM Bond	136
AAU/ARL Latin Americanist Pilot	23,580
	$25,216

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INDEPENDENT AUDITORS' REPORT ON SUPPLEMENTAL FINANCIAL INFORMATION

To the Board of Directors
Association of Research Libraries
Washington, D.C.

Our report on our audit of the basic financial statements of the Association of Research Libraries for the year ended December 31, 1996 appears on page 2. That audit was made for the purpose of forming an opinion on the basic financial statements taken as a whole. The information included in Schedules 1 through 3 is presented for purposes of additional analysis and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and in accordance with Government Auditing Standards, issued by the Comptroller General of the United States, and the provisions of Office of Management and Budget (OMB) Circular A-133 and, in our opinion, is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

Gelman, Rosenberg & Freedman

April 2, 1997

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ASSOCIATION OF RESEARCH LIBRARIES

SCHEDULE OF OPERATING ACTIVITIES
FOR THE YEAR ENDED DECEMBER 31, 1996

	General and Administrative	Statistics and Measurement	Scholarly Communication	Communication	Membership Meetings	Governance
REVENUE						
Dues	$488,002	$ 96,700	$128,000	$131,000	$125,500	$146,600
Publication sales	-	56,913	115,929	8,393	7,027	-
Royalties	-	109	-	-	-	-
Consultation	-	14,788	-	-	-	-
Training	719	23,175	18,900	-	-	-
Conference fees	-	-	18,815	-	-	-
Miscellaneous	3,781	-	-	-	-	-
Investment income	75,173	-	-	-	-	-
Realized loss on sale of investments	(10,684)	-	-	-	-	-
Unrealized loss on investments	(32,731)	-	-	-	-	-
CNI administrative services	72,800	-	-	-	-	-
CNI rent reimbursement	56,600	-	-	-	-	-
OMS rent reimbursement	7,909	-	-	-	-	-
CNI cost recovery	17,451	-	-	-	-	-
Cost recovery	35,440	609	489	2,784	1,624	-
Total revenue	714,460	192,294	282,133	142,177	134,151	146,600
EXPENSES						
Employee costs	244,346	86,669	151,924	84,503	57,610	56,236
Professional services	52,865	11,398	27,303	2,362	3,417	-
Travel and meetings	255	23,955	44,494	23,685	62,332	23,800
Communications	20,516	12,965	29,686	7,422	5,078	4,076
Publications	238	26,826	51,279	28,575	7,368	-
Office operations	154,634	10,977	3,036	3,204	3,337	3,216
Rent	236,819	-	-	-	-	-
Special allocations	(82)	-	-	-	-	-
Total expenses	709,591	172,790	307,722	149,751	139,142	87,328
CHANGE IN NET ASSETS	$ 4,869	$ 19,504	$ (25,589)	$ (7,574)	$ (4,991)	$ 59,272

Federal Relations and Information Policy	Copyright	Collection Services	Access and Technology	International Relations	Diversity	Research and Development	Total
$67,600	$ 64,400	$57,200	$ 78,300	$19,950	$57,000	$55,000	$1,515,252
28	12,091	3,491	12,883	-	-	-	216,755
-	-	60	-	-	-	8,135	8,304
-	-	-	41,158	-	17,700	-	73,646
-	-	-	-	-	3,275	-	46,069
-	-	-	-	-	-	2,584	21,399
-	-	-	-	-	-	-	3,781
-	-	-	-	-	-	-	75,173
-	-	-	-	-	-	-	(10,684)
-	-	-	-	-	-	-	(32,731)
-	-	-	-	-	-	-	72,800
-	-	-	-	-	-	-	56,600
-	-	-	-	-	-	-	7,909
-	-	-	-	-	-	-	17,451
847	-	-	13,603	-	7,591	-	62,987
68,475	76,491	60,751	145,944	19,950	85,566	65,719	2,134,711
37,349	81,542	42,877	68,986	7,272	53,379	41,195	1,013,888
-	21,826	198	309	-	5,300	4,227	129,205
5,481	5,070	5,482	28,321	10,842	22,762	64	256,543
601	3,088	1,833	3,086	102	2,993	325	91,771
-	6,702	162	8,177	31	184	-	129,542
6,317	1,731	947	-	5,170	1,812	318	194,699
-	-	-	2,163	-	-	5,500	244,482
-	-	-	-	-	-	-	(82)
49,748	119,959	51,499	111,042	23,417	86,430	51,629	2,060,048
$18,727	$ (43,468)	$ 9,252	$ 34,902	$(3,467)	$ (864)	$14,090	$ 74,663

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SCHEDULE 2

ASSOCIATION OF RESEARCH LIBRARIES

SCHEDULE OF OFFICE OF MANAGEMENT SERVICES ACTIVITIES
FOR THE YEAR ENDED DECEMBER 31, 1996

	Training	Information Services	Organizational Development	Total
REVENUE				
Dues	$ 80,000	$ 45,000	$ 20,000	$145,000
Publication sales	-	147,616	282	147,898
Consultation	-	-	104,929	104,929
Training	243,908	-	-	243,908
Cost recovery	9,582	50	26,365	35,997
Total revenue	333,490	192,666	151,576	677,732
EXPENSES				
Employee costs	139,529	76,567	75,236	291,332
Professional services	41,564	25,188	34,915	101,667
Travel and meetings	88,182	6,973	36,901	132,056
Communications	13,675	29,537	2,775	45,987
Publications	4,433	39,604	22	44,059
Office operations	20,405	6,872	7,772	35,049
Total expenses	307,788	184,741	157,621	650,150
CHANGE IN NET ASSETS	$ 25,702	$ 7,925	$ (6,045)	$ 27,582

ASSOCIATION OF RESEARCH LIBRARIES

SCHEDULE OF TEMPORARILY RESTRICTED ACTIVITIES
FOR THE YEAR ENDED DECEMBER 31, 1996

	NRMM Bond	NEH NRMM Serials	NRMM Non-Roman	NINCH	H.W. Wilson Copyright Education	Shared Legal Capability Licensing
REVENUE						
Grants and contracts	$640	$75,557	$6,393	$ -	$ -	$10,000
Training	-	-	-	-	41,650	-
Investment income	27	-	-	-	-	-
Cost recovery	-	-	-	-	-	-
Dues	-	-	-	-	-	-
Publication sales	-	-	-	-	-	-
Conference fees	-	-	-	-	400	-
Total revenue	667	75,557	6,393	-	42,050	10,000
EXPENSES						
Employee costs	-	167	4,071	-	6,462	-
Professional services	-	74,850	1,962	-	7,500	-
Travel and meetings	-	290	-	-	18,922	-
Communications	-	160	318	-	243	2
Publications	-	-	-	-	1,169	-
Office operations	667	7	42	10,000	1,448	-
Indirect costs	-	83	-	-	-	-
Reclassification of 1995 expenses	-	-	-	-	-	-
Total expenses	667	75,557	6,393	10,000	35,744	2
Change in net assets	-	-	-	(10,000)	6,306	9,998
Net assets at beginning of year	-	-	-	10,000	13,266	-
NET ASSETS AT END OF YEAR	$ -	$ -	$ -	$ -	$19,572	$ 9,998

SCHEDULE 3

Shared Legal Capability Copyright	CLR Electronic Investments	Foreign Acquisition (Mellon)	AAU/ARL Global Resources (Mellon)	ILL/DD Performance Measures (Mellon)	AAU/ARL Latin Americanist Pilot	AAU/ARL Latin Americanist Phase II (Mellon)	CLR Latin American Price Index	Total
$ -	$6,000	$1,747	$450,000	$ -	$ 2,577	$ -	$2,500	$555,414
-	-	-	-	-	-	-	-	41,650
-	-	55	1,031	5,769	-	-	-	6,882
34,907	-	-	-	-	-	-	-	34,907
-	-	1,748	-	-	-	-	-	1,748
-	-	5,800	-	-	-	-	-	5,800
-	-	-	-	-	-	-	-	400
34,907	6,000	9,350	451,031	5,769	2,577	-	2,500	646,801
-	-	36	-	34,179	4,748	7,215	-	56,878
66,904	-	138	-	10,090	5,475	-	2,500	169,419
58	1,126	-	-	10,351	2,272	25,538	-	58,557
380	224	1,170	-	1,591	78	524	-	4,690
-	-	4,418	-	276	-	-	-	5,863
225	-	358	-	1,662	4	313	-	14,726
-	-	-	-	-	-	-	-	83
-	-	-	-	-	(10,000)	10,000	-	-
67,567	1,350	6,120	-	58,149	2,577	43,590	2,500	310,216
(32,660)	4,650	3,230	451,031	(52,380)	-	(43,590)	-	336,585
56,658	-	-	-	127,707	-	117,286	-	324,917
$ 23,998	$4,650	$3,230	$451,031	$ 75,327	$ -	$ 73,696	$ -	$661,502

APPENDIX V

ARL ATTENDANCE LIST
MAY 14-16 , 1997

Member Institution	Represented by
University of Alabama	Charles Osburn
University of Alberta	Ernie Ingles
University of Arizona	Carla Stoffle
Arizona State University	Sherrie Schmidt
Auburn University	Bobby Holloway
Boston Public Library	Bernard Margolis
Boston University	[not represented]
Brigham Young University	Sterling Albrecht
University of British Columbia	Heather Keate
Brown University	Merrily Taylor
University of California-Berkeley	Susan Rosenblatt
University of California-Davis	Marilyn Sharrow
University of California-Irvine	Joanne Euster
University of California-Los Angeles	Gloria Werner
University of California-Riverside	[not represented]
University of California-San Diego	Gerald Lowell
University of California-Santa Barbara	Joseph Boissé
Canada Institute for Scientific & Tech Info	Margot Montgomery
Case Western Reserve University	Ray Metz
Center for Research Libraries	Donald Simpson
University of Chicago	Martin Runkle
University of Cincinnati	David Kohl
University of Colorado	James Williams
Colorado State University	Irene Godden
Columbia University	Elaine Sloan
University of Connecticut	Paul Kobulnicky
Cornell University	Sarah Thomas
Dartmouth College	Margaret Otto
University of Delaware	Susan Brynteson
Duke University	David Ferriero
Emory University	Joan Gotwals
University of Florida	Dale Canelas
Florida State University	Charles Miller
Georgetown University	[not represented]
University of Georgia	William Potter
Georgia Institute of Technology	Miriam Drake
University of Guelph	[not represented]
Harvard University	Nancy Cline
University of Hawaii	John Haak
University of Houston	Dana Rooks
Howard University	Mod Mekkawi
University of Illinois at Chicago	Sharon Hogan
University of Illinois at Urbana	Frances O'Brien
Indiana University	Suzanne Thorin

Member Institution	Represented by
University of Iowa	Sheila Creth
Iowa State University	Nancy Eaton
Johns Hopkins University	James Neal
University of Kansas	William Crowe
Kent State University	Don Tolliver
University of Kentucky	Paul Willis
Laval University	Claude Bonnelly
Library of Congress	Winston Tabb
Linda Hall Library	Lee Jones
Louisiana State University	[not represented]
McGill University	Frances Groen
McMaster University	Graham Hill
University of Manitoba	Carolynne Presser
University of Maryland	[not represented]
University of Massachusetts	Margo Crist
Massachusetts Institute of Technology	Ann Wolpert
University of Miami	Frank Rodgers
University of Michigan	William Gosling
Michigan State University	Clifford Haka
University of Minnesota	Linda DeBeau-Melting
University of Missouri-Columbia	Martha Alexander
National Agricultural Library	Pamela André
National Library of Canada	Marianne Scott
National Library of Medicine	[not represented]
University of Nebraska-Lincoln	Joan Giesecke
University of New Mexico	Robert Migneault
New York Public Library	Heike Kordish
New York State University	Lee Stanton
New York University	[not represented]
University of North Carolina	Joe Hewitt
North Carolina State University	Susan Nutter
Northwestern University	David Bishop
University of Notre Dame	Maureen Gleason
Ohio State University	William Studer
Ohio University	Hwa-Wei Lee
University of Oklahoma	Sul Lee
Oklahoma State Univerrsity	Edward Johnson
University of Oregon	George Shipman
University of Pennsylvania	Paul Mosher
Pennsylvania State University	[not represented]
University of Pittsburgh	Rush Miller
Princeton University	Karin Trainer
Purdue University	Emily Mobley
Queen's University	Paul Wiens
Rice University	Charles Henry
University of Rochester	Ronald Dow
Rutgers University	Marianne Gaunt
University of Saskatchewan	Frank Winter
Smithsonian Institution	[not represented]
University of South Carolina	George Terry
University of Southern California	Jerry Campbell
Southern Illinois University at Carbondale	Carolyn Snyder

Member Institution	Represented by
Stanford University	[not represented]
State University of New York-Albany	Meredith Butler
State University of New York-Buffalo	[not represented]
State University of New York-Stony Brook	Joseph Branin
Syracuse University	David Stam
Temple University	John Zenelis
University of Tennessee	Paula Kaufman
University of Texas at Austin	[not represented]
Texas A&M University	Fred Heath
University of Toronto	Carole Moore
Tulane University	Philip Leinbach
University of Utah	Sarah Michalak
Vanderbilt University	Paul Gherman
University of Virginia	Karin Wittenborg
Virginia Polytechnic Inst. & State University	Donald Kenney
University of Washington	Betty Bengtson
Washington State University	Nancy Baker
Washington University	Shirley Baker
University of Waterloo	[not represented]
Wayne State University	Carole McCollough
University of Western Ontario	[not represented]
University of Wisconsin	Kenneth Frazier
Yale University	Scott Bennett
York University	Ellen Hoffmann

Invited Guests	
Association of American Law Libraries	Roger Parent
Association of American Universities	John Vaughn
American Council of Learned Societies	Douglas Bennett
The Andrew W. Mellon Foundation	Richard Ekman
Art Gallery of Ontario	Maxwell Anderson
CAUL/Barr Smith Library, Adelaide	Ray Choate
University of California-San Francisco	Richard Lucier
Center for Creative Leadership	David Campbell
City of Santa Fe	Joseph Montoya
University of Colorado	Evelyn Hu-DeHart
Committee on Institutional Cooperation	Barbara McFadden Allen
COSLA/Missouri State Library	Sara Parker
Council on Library Resources/CPA	Deanna Marcum
Harvard University	Jan Merrill-Oldham
ICPSR	Richard Rockwell
Institute for Museum & Library Services	Diane Frankel
The Los Alamos National Laboratory	Thomas Garcia
University of Massachusetts	Gordon Fretwell
University of New Mexico	Gilbert Merkx
National Endowment for the Humanities	George Farr
NINCH	David Green
OCLC/ARL	Dorothy Gregor
Rutgers University	Peter Graham
SUNY-Albany	Gloria DeSole

Invited Guests

Tierra Contenta Corporation	Steven Bruger
University of Virginia	Kendon Stubbs
University of Washington	Timothy Jewell

ARL Staff

Adler, Prudence	Asst. Executive Director-Federal Relations & Info. Policy
Barrett, Jaia	Deputy Executive Director, & Dir. of Research & Dev.
Blixrud, Julia	Senior Program Officer
Brooks, Mary Jane	Office and Personnel Manager
Case, Mary	Director, Office of Scholarly Communication
Deiss, Kathryn	OMS Senior Program Officer for Training
Jackson, Mary	Access and Delivery Services Consultant
Jakubs, Deborah	Director, Global Resources Program, Duke University
Jones, DeEtta	Program Officer for Diversity
Mogge, Dru	Electronic Information Services Coordinator
Webster, Duane	Executive Director

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